

**COMPENDIUM OF AMENDMENTS TO QAD-R02**

Following amendments are to be included in QAD-R02:-

1. Chapter 3 - Commencement of QA Inspections of Shipyard Orders with Scanned Copies of Drawings

Page No. 22 - New Para 0313 added

0313. Since physical delivery of approved drawing through post may take time, all QA inspection for **Shipyard orders** will commence on receipt of scanned copies of approved drawings and ATPs either from IHQ MoD(N)/ Shipyard with following caveats:-

- (a) The drawing/ATP should not be classified (SECRET/ CONFIDENTIAL) in nature.
- (b) Scanned copy of the drawings and ATPs should be submitted in 'pdf' format. They should be legible and bear the signature/ endorsement/ stamp of competent authority. The resolution of the drawings should be at least 600 dpi with A3 size paper setting.
- (c) Hard copy of approved drawings and ATPs along with covering letter is submitted prior to issue of I-Notes.

Reference - DQA(WP) Policy Letter No. 12575/Policy-2023/DQA(WP)/DP-1/02 dated 27 Mar 23.

2. Chapter 6 - Guidelines for Raw Material Testing of NAB Castings Mfd as per Def Stan 747

Page No. 32 - Sub Para 0602 (t) added after Para 0602 (s) and Appendix 'Q' included:-

0602 (t) Guidelines for raw material testing of Nickel Aluminium Bronze castings manufactured as per Def Stan 747 have been promulgated vide DQA(WP) Policy Letter No. 12575/Policy-2023/DQA(WP)/GP-1/01 dated 10 Jan 23 and is placed at Appendix 'Q'.

Reference - DQA(WP) Policy Letter No. 12575/Policy-2023/DQA(WP)/DP-1/01 dated 10 Jan 23.

3. Chapter 6 - Standard Format for Raising Call Letters

Page No. 36 - The following line added at the end of Para 0608 and Appendix 'R' to be included:-

Para 0608 - The standard format for raising I-calls is placed at Appendix 'R' iaw DQA(WP) Policy Letter No. 12575/Policy-2023/ DQA(WP)/GP-1/03dated

05 Apr 23. The format is to be circulated amongst all manufacturers/suppliers under the respective areas of jurisdiction for compliance. Use of digital signatures to endorse the I-calls is to be hereinafter forwarded by emails only and delivery of the same by hand/postal service is to be done away with.

Reference - DQA(WP) Policy Letter No. 12575/Policy-2023/DQA(WP)/DP-1/03 dated 05 Apr 23.

4. Chapter 6 - Conduct of Remote Inspection

Page No. 37 - Para 0613

**For:** Existing Para 0613

**Read:** All Field Units are to ensure that remote inspections are kept to bare minimum. All QA inspections are to be undertaken physically. Inspections are to be planned in scheduled manner so that multiple inspections are undertaken in one physical visit.

Reference - DQA(WP) Policy letter No. 12575/POLICY/DGQA/WP-TC dated 07 Sep 22 refers.

5. Chapter 10 - Re-allocation of Regions to Field Establishments

Page No. 45 - Para 1003

The existing Appendix 'L' is updated with amended jurisdiction promulgated vide DQA(WP) Policy Letter No. 12575/Policy-2023/DQA(WP)/TC/02 Dated 21 Feb 23.

Reference - DQA(WP) Policy letter No. 12575/Policy-2023/DQA(WP)/TC/02 dated 21 Feb 23.

6. Chapter 13 - Standard Format for Reporting Surveillance Audit

Page No. 65 - New Para 1325 added

1325. **Surveillance Audit for Green Channel Certification/ Self Certification Scheme.** Surveillance Audit of Green Channel Certified and Self Certified firms to be undertaken in accordance with the detailed procedure promulgated vide DQA(N) Policy Letter No. DQAN/Policy/SG-I/2022/09 dated 23 Jun 22 and placed at Appendix 'S'.

Reference - DQA(N) Policy Letter No. DQAN/Policy/SG-I/2022/09 dated 23 Jun 22

**GUIDELINES FOR RAW MATERIAL TESTING OF NICKEL ALUMINIUM  
BRONZE CASTINGS MANUFACTURED AS PER DEF STAN 747**

1. DQA(WP) undertakes QA inspections of significant number of Nickel Aluminium Bronze (NAB) castings manufactured as per the provisions of DEF STAN 747. Considering the criticality of tests undertaken during the Raw Material Inspection stage and its bearing on the service-life of the castings, broad guidelines for conduct of Raw Material Inspection of NAB Castings are enumerated in the ensuing paragraphs.

2. **Raw Material**. The following are relevant as regards to raw material to be used for manufacturing NAB castings complying to DEF STAN 747:-

(a) **The castings are to be made from Ingots and Manufacturer's Own Approved Scrap.** No other scrap, including scrap procured from market is permitted for use.

(b) **Manufacturer's Own Approved Scrap**. Scrap generated at the manufacturer's premises, comprising NAB risers, runners and defective castings, composition of which has been established wrt the complete range of alloying elements and impurities and is segregated/ identifiable to the satisfaction of the Inspection Agency are to be considered as Manufacturer's Approved Scrap. In case the manufacturer intends to use own approved scrap, they are to segregate the same and store them separately. The scrap may be inspected by the Inspection Agency at a short notice as a part of Quality Surveillance. The manufacturer has to handover a Certificate of Conformance (CoC) stating that only Manufacturer's Own Approved Scrap has been used and no other scrap, including scrap procured from market has been used for pouring.

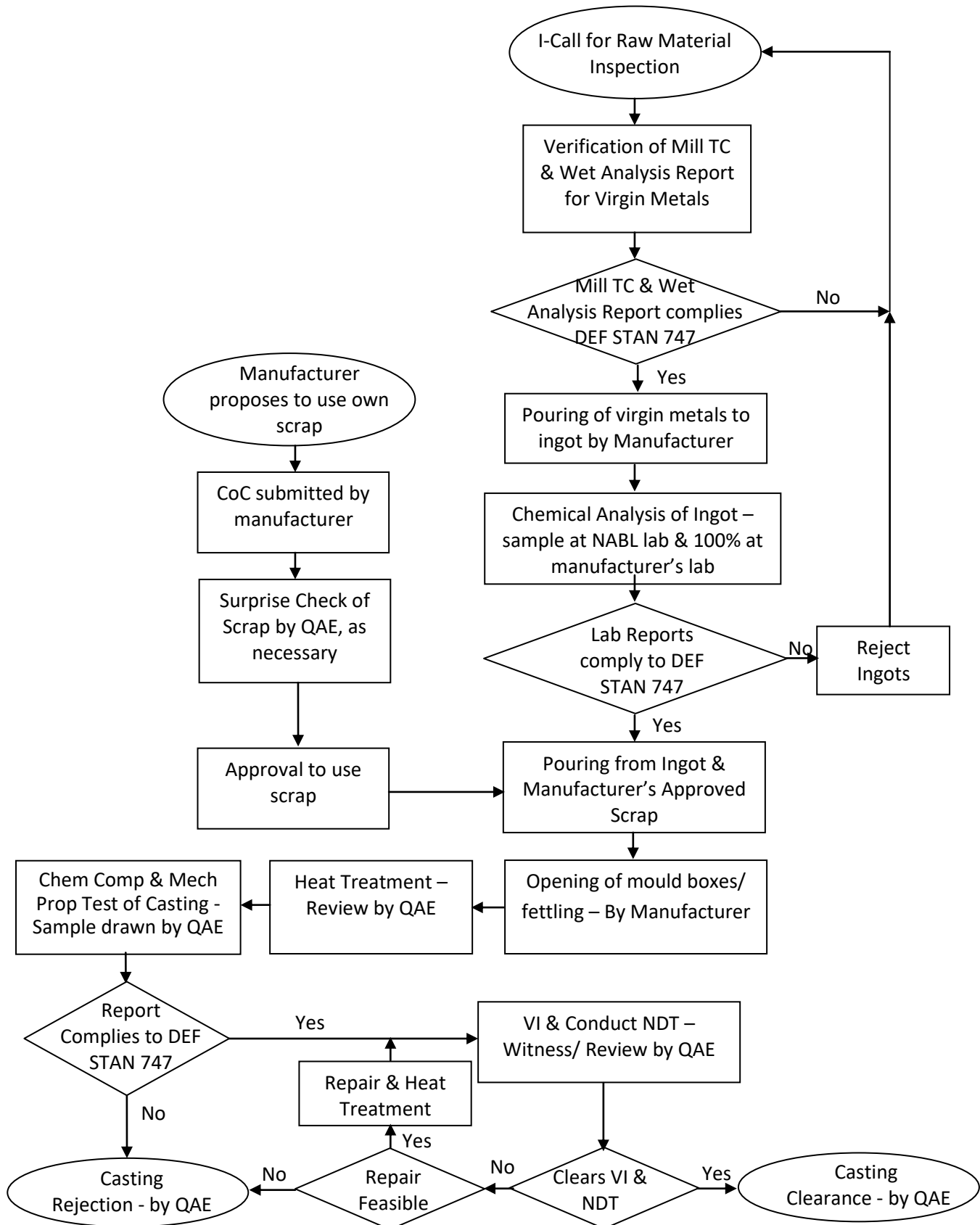
(c) **Use of Virgin Metals**. The ingots that shall be used for casting the end product are to be cast from Virgin Metals as given at table below. The manufacturer shall submit Mill Test Certificates (TCs) for the virgin metals used for casting of ingots to the Inspection Agency. Further, the manufacturer should also undertake wet analysis of the virgin material to reconfirm the purity.

(i)	Nickel	Chemical composition as per BS373:Grd R99.9
(ii)	Iron	High purity (99.5% w/w) with Carbon content < 0.05% (w/w)
(iii)	Aluminium	Commercially very pure Grade 99.9% (w/w)
(iv)	Copper	Complying to latest version of BSEN 1976 or BSEN 1978
(v)	Manganese	High purity electrolytic grade

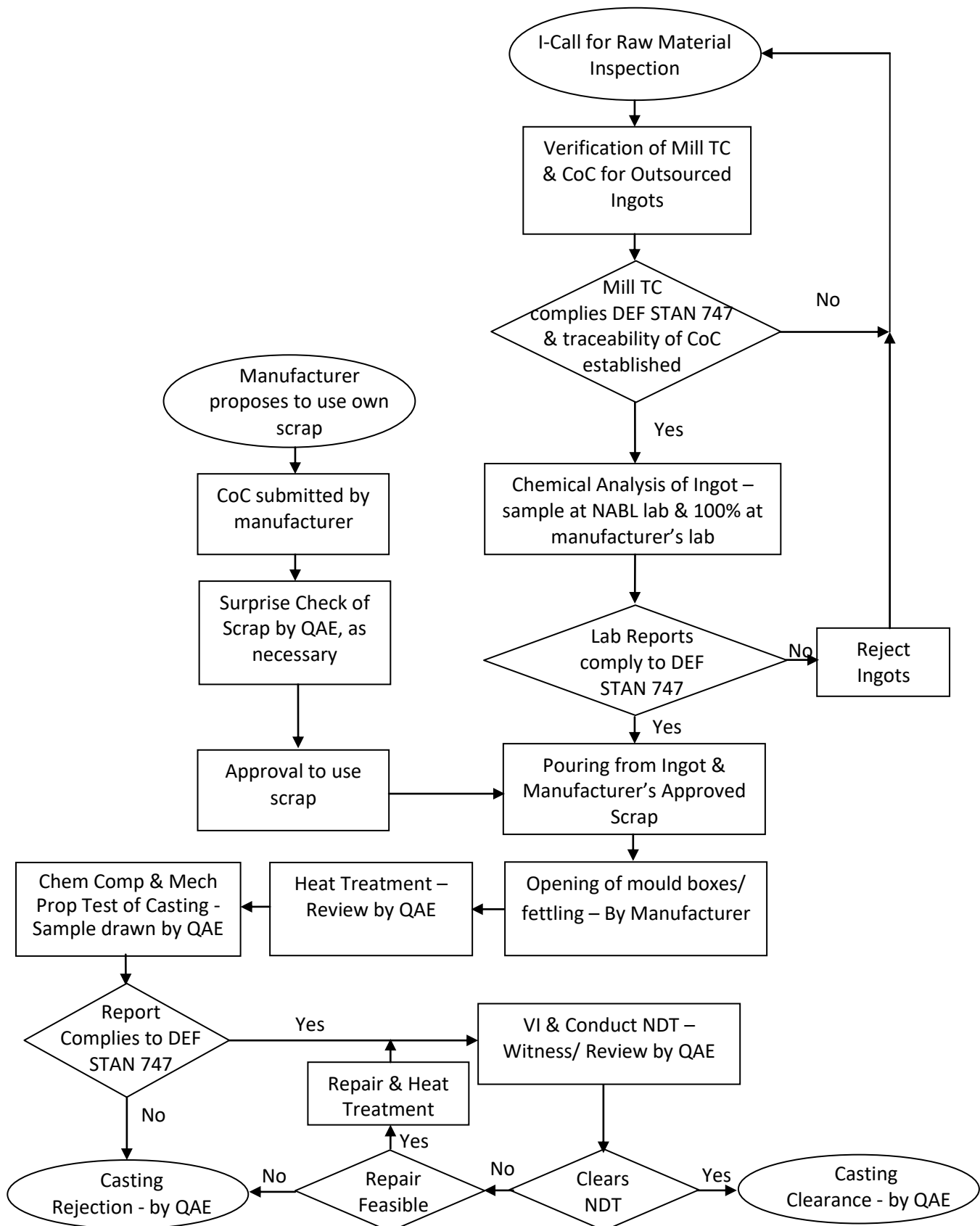
3. **Pouring of Virgin Metals to Ingots.** As mentioned at Para 2(c) above, the ingots are to be poured from virgin metals. The ingots are to be embossed/ hot punched with unique cast/ heat number for traceability. In case the embossing/ hot punching is not legible, the ingot is not to be used further. Traceability of the Mill TCs of the Virgin Metal used wrt the ingots casted is to be maintained. The Inspection Agency will examine the Mill TC and the traceability at short notice as part of Quality Surveillance.
4. **Outsourced Ingots.** The manufacturer may outsource the ingots from suitable sources, if in-house facility for casting ingots is not available. In such cases, Mill TC and a Certificate from the Ingot Manufacturer are to be submitted to the Inspection Agency stating that the ingots have been cast from Virgin Metals only. The Mill TC should also specify the complete range of alloying elements and impurities which should meet the provisions of DEF STAN 747. Traceability of the certificate with the batch/ lot/ heat number of the ingots is to be ensured by the ingot manufacturer. The logo of the ingot manufacturer and heat number of the ingots is to be embossed/ hot punched at suitable locations on the ingots. In case the embossing/ hot punching is not legible, the ingot is not to be used.
5. **Ingot Analysis.** Each ingot is to be lab tested by the manufacturer in their own facility. Samples taken from randomly selected ingots (out of ingots already tested by manufacturer) are to be forwarded to NABL accredited laboratory for testing of chemical composition. The samples are to be drawn, identified and sealed by the Inspection Agency prior to forwarding to the laboratory. Ingots are to be used for further production activities only if the laboratory report confirms compliance to the specifications vide DEF STAN 747.
6. **Heat Treatment.** The castings poured from the ingots and approved scrap are to have unique cast/ heat number for traceability. The castings are to be heat treated (along with the test bars/ integral test bars, if applicable), as specified in DEF STAN 747. Heat Treatment Report/ Chart with the traceability details of the castings subjected to heat treatment are to be examined by the Inspection Agency during analysis of reports.
7. **Chemical Composition, Mechanical Property Test and Grain Structure Analysis of Castings.** Samples randomly taken from the castings itself or test bars or integral test bar attached to the castings, as applicable, are to be forwarded to the NABL accredited laboratory for testing the chemical composition and mechanical properties. The samples are to be drawn, identified and sealed by the Inspection Agency prior to forwarding to the laboratory. Castings are to be cleared for further manufacturing activities, only if the laboratory report confirms compliance to the specifications provided in DEF STAN 747.
8. **Visual Inspection.** The castings are to be 100% visually inspected by the Inspection Agency and where necessary, 5x magnification optics may be used for identification and recording of infirmities. Finished condition of all surfaces is to be clean and free from cracks or other surface defects.

9. **Non-Destructive Testing.** All NAB castings are to be subjected to NDT as per approved QAP/ SQAP and DEF STAN 747 for identification of surface and sub-surface flaws.
10. **Rectification of Defects.** In case of any defect in the castings, the manufacturer may undertake repairs by welding, blending, impregnation etc as per guidelines vide DEF STAN 747 at their own risk and cost. The repair procedure is to be submitted to the Inspection Agency for information. The procedure to be followed for repair is solely the manufacturer's responsibility and Inspection Agency will no way be responsible for success/ failure of the repair undertaken. Repeat heat treatment of the castings is to be undertaken, if necessary as per DEF STAN 747, on completion of repair works and the Heat Treatment Report/ Chart with traceability details of the castings subjected to repeat heat treatment are to be submitted for review by the Inspection Agency. Thereafter, the castings are to be subjected to Visual Inspection and NDT as specified at Para 8 and 9 above.
11. The process flow charts for conduct of Raw Material Inspection of NAB castings as per DEF STAN 747 are placed at Enclosure-I & II. Contents of this letter shall be included in all SQAPs involving checks of NAB castings, already promulgated/ to be promulgated by DQA(WP).
12. It is requested that the above guidelines be complied by all Field Units of DQA(WP) for all POs issued post date of issuance of the letter.

**FLOW CHART FOR RAW MATERIAL INSPECTION OF NAB CASTINGS**  
**AS PER DEF STAN 747 - INGOTS CASTED BY MANUFACTURER**



**FLOW CHART FOR RAW MATERIAL INSPECTION OF NAB CASTINGS  
AS PER DEF STAN 747 – INGOTS OUTSOURCED BY MANUFACTURER**



**STANDARD FORMAT FOR RAISING I-CALLS**

1. Inspection Calls (I-Calls) are raised by manufacturers/ suppliers to tender readiness of equipment/ stores and seek deputation of inspectors for undertaking QA inspections. Following issues pertaining to I-Calls warranted attention:-

- (a) Format for raising I-Calls is not standardised and all Field Units use their own formats.
- (b) I-Calls are forwarded by firms through post/ hand delivery/ e-mail depending on their convenience. It is needless to mention that e-mails are the most economical and fastest means for raising I-Calls.
- (c) Many-a-times, manufacturers/ suppliers raise I-Calls without completing the previous stage inspections, submitting documents/ test reports iro the previous stage inspections and completing mandatory in-house self tests.

2. In order to address the aforementioned issues and streamline the process of raising I-Calls, formats for raising I-Calls were obtained from all Field Units and the same were examined at this Headquarters. Taking cue from all the I-Call formats received, a standard format for I-Calls was formulated with following objectives:-

- (a) The format should be compatible for forwarding by e-mails.
- (b) It will serve as a check-off list for the firm to ensure that they are ready in all respect to offer inspections.
- (c) Information sought from manufacturers/ suppliers would be basic minimum and necessary/ sufficient for deputing inspectors for on-site inspections.

3. The draft standard format for I-Calls was circulated to all Field Units and based on the inputs/ feedback received, the same has been revised/ optimised and placed at enclosure.

4. It is requested that the standard format for I-Calls be implemented by all Field Units under DQA(WP) with immediate effect and circulated amongst all manufacturers/ suppliers under the respective areas of jurisdiction for compliance. Use of digital signatures to endorse the I-Calls is permitted. All I-Calls are to be here-in-after forwarded by e-mails only and delivery of the same by hand/ postal service is to be done away with.



Inspection call Letter format

Tel No:

Firm Name

e-Mail:

Address

Ref No:

Date: DD/MM/YYYY

Name of Inspection Agency

**INSPECTION CALL - SL NO**

It is requested to depute your rep/(s) to carry out QA inspection of material as mentioned below:-

1.	Purchase Order/ Sub-order No and date	
2.	Order placing authority/ agency	
3.	Broad description of item/(s) (Table depicting <b>PO SI No, Part No, Item Description, Manufacturing Year, Qty Ordered &amp; Qty Offered</b> is to be enclosed)	
4.	Proposed date/(s) for inspection	
5.	Place of inspection	
6.	Inspection instruction as per PO	
	<b>7(a) Inspection against approved drawings &amp; QAP</b>	<b>7(b) Inspection against OEM Tech Specs</b>
	GA/ component drawing reference	Approved PIL/ DBOM reference
		Documents as per Appendix-'E' of QAD-R02 available & enclosed
	Approved QAP/ SQAP No & date	Yes/ No
	Documents iaw Para 0605 (c) of QAD-R02 available & enclosed	
	Yes/ No	
	Applicable Clause No/(s) of approved QAP/ SQAP	
	Particulars of inspection/(s) being offered	
	Approved ATP, FATs/ IFATs Protocol etc enclosed	
	Yes/ No/ NA	
	Previous stage inspections (self tests, lab tests, NDT, Type Tests etc) iaw approved QAP/ SQAP completed & all reports submitted	
	Yes/ No/ NA	
	Previous stage inspection reports, CoCs, test certificates, Type Test reports NDT reports etc, not submitted earlier, enclosed	
	Yes/ No/ NA	
8.	Self-inspection by in-house QC satisfactory & reports/ test certificates attached	Yes/ No
9.	Measuring instruments/ equipment to be used are available and calibrated	Yes/ No/ NA
10.	PSPP as per PO/ Offered Lot No/(s)	PSPP_____ / Offered Lot No/(s)_____
11.	Delivery date/ Extended delivery date	
12.	Contact person & telephone number	
13.	Any other relevant information	

(Authorised Signatory)  
Digital signature permitted**Attachment:-** As above

**Appendix 'L'**  
**(Para 1003)**

**AREA OF JURISDICTION OF FIELD ESTABLISHMENTS**

Ser	Field Establishment	Existing Area of Jurisdiction	Revised Area of Jurisdiction
1.	CQAE (WE, WP), Mumbai	Maharashtra (except Pune) & Goa	Maharashtra (except areas covered by QAE(WE), Pune at Sl. 4 below & Nagpur), Nasik, Goa, Talegaon, & Aurangabad  (for Induction orders)
2.	QAE (EFS), Mumbai	Maharashtra (except Pune) & Goa	No change from existing.
3.	CQAE(MS), Mumbai	Maharashtra (except Pune) & Goa in respect of machinery spares orders ex- DPRO / MOs	Maharashtra (except areas covered by QAE(WE), Pune at Sl. 4 below & Nagpur), Nasik, Goa & Talegaon in respect of machinery spares orders ex- DPRO / MOs
4.	QAE(WE), Pune	Pune region (Districts of Pune, Satara, Kolhapur, Nasik, Ahmednagar, Solapur, Aurangabad, Karad, Sangli, Walchandnagar, Raigad)	Pune region (except Talegaon & Nagpur) Districts of Pune, Satara, Kolhapur, Ahmednagar, Solapur, Karad, Sangli, Walchandnagar & Aurangabad (Aurangabad for DPRO/MO Orders only)
5.	QAE(WE), Vadodara	Gujrat, Dadra and Nagar Haveli, Daman and Diu	No change from existing
6.	CQAE (EFS), Visakhapatnam	Andhra Pradesh, Telangana	No change from existing
7.	QAE(WE, FPC), Bengaluru	Karnataka, Kerala, Lakshadweep	No change from existing
8.	QAE(WE, EFS) Chennai	Tamilnadu, Pudduchery	No change from existing
9.	QAE(WE/WP, EFS), Kolkata	West Bengal, Bihar, Jharkhand, Orissa, North Eastern States & A&N Islands.	No change from existing
10.	QAE(WE), New Delhi	Delhi (including NCR), Uttar Pradesh, Haryana, Rajasthan, Uttarakhand,	No change from existing
11.	QAE(WE), Bhopal	Madhya Pradesh, Chhattisgarh	Madhya Pradesh, Chhattisgarh and Nagpur district of Maharashtra
12.	QAE(WE), Jalandhar	Punjab, Chandigarh, Himachal Pradesh, Jammu & Kashmir	No change from existing

**Appendix 'S'**  
(Refer Para 1325)

Tele - 011-26193307  
Fax - 011-26192870  
E-mail : [naval-dgqa@nic.in](mailto:naval-dgqa@nic.in)  
Website : [www.dgqadefence.gov.in](http://www.dgqadefence.gov.in)

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Ministry of Defence (DGQA)  
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West Block - 5, RK Puram  
नई दिल्ली – 110 066  
New Delhi – 110066  
23 Jun 22

DQAN/Policy/SG-I/2022/09

All DQA(N) Establishments

**STANDARDISED FORMAT FOR REPORTING SURVEILLANCE AUDIT**  
**(GCS & SC AWARDED FIRM)**

1. Refer to the following policy directives promulgated by GOV MOD (copies available on [makeinindiadefence.gov.in](http://makeinindiadefence.gov.in) and [dgqadefence.gov.in](http://dgqadefence.gov.in)): -

- (a) MoD (DDP) Order No. 2015/ D(QA) dated 24 Mar 2017 regarding Green Channel Status (GCS).
- (b) MoD (DDP) Order No. 93244/14/SC/DGQA/Adm-19/D(QA)/19 dated 13 May 2019 regarding Self Certification(SC).
- (c) SOP for GCS promulgated by DGQA.

2. In order to streamline the process of conducting Surveillance Audit, a document enumerating the guidelines for undertaking the preparatory activities, internal checks, onsite visit reporting format and follow-up actions is placed at Enclosure for compliance by all DQA(N) units with immediate effect.

3. This has the approval of ADGQA (N).

-SD/-  
(Vinay Kumar Lekhi)  
Commodore  
DDGQA (N)  
For ADGQA(N)

Encl. Enclosure

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**List of Abbreviations.**

1.	Gol	-	Government of India
2.	DDP	-	Department of Defence Production
3.	DGQA	-	Directorate General of Quality Assurance
4.	DQA(N)	-	Directorate of Quality Assurance (Naval)
5.	GCS	-	Green Channel Status
6.	SC	-	Self Certificate
7.	SA	-	Surveillance Audit
8.	PO	-	Purchase order
9.	CTQ	-	Critical to Quality
10.	QA	-	Quality Assurance
11.	QMS	-	Quality Management System

## **Chapter 1**

### **INTRODUCTION**

1. Government of India has launched numerous policy initiatives to facilitate 'Ease of Doing Business'; to promote the National Mission of 'Make in India with special focus on 'Defence Manufacturing'. The Self Certificate (SC) and Green Channel Status (GCS) policies have ushered in a major reform wherein the firms granted SC and GCS become eligible to manufacture and supply the specific stores without any QA clearance by a DGQA unit. The GCS policy is applicable only for firms with turnover of more than Rs. 500 Cr, whereas SC policy is applicable for any vendor with a consistent supplier rating above 90% over past three years.

2. **Policy Guidelines.** The GCS policy has been promulgated by GoI/MoD (DDP) vide order No. 43(5)/ 2015/ D(QA) dated 24 Mar 2017 (GCS) and the SC policy vide order No.93244/14/SC/DGQA/Adm-19/D(QA)/19 dated 13 May 2019 for Self Certification(SC).According to these policies the GCS is given to the firm for a period of five years and SC for a period of three years. SOP for Green Channel was promulgated vide DGQA letter 93244/14/Green Channel Policy/DGQA/Adm-19 dated 25 Oct 19 & 04 Nov 19. Subsequently DQA(N) has issued amplifying guidelines for OPAs & amplifying guidelines for QA units and GCS/ SC firms vide letter No. DQAN/SG-I/1005 dated 12 Oct 22 & 16 Nov 22 respectively.

3. **Surveillance Audit.** This document aims to provide a clear understanding of the procedures required to be followed towards ascertaining continuation/ ceasing of the certification based on surveillance audit. The above mentioned GoI orders/ SOP mandates the QA field units to perform periodic Surveillance/ Surprise Audit (SA) of the process and Quality System of the firm awarded GCS/ SC to confirm that QA activities are carried out as per the terms and conditions. The periodicity of SA may be more frequent during the initial stages of grant of GCS/ SC and may be tapered to lower periodicity based on findings/ observations of the preceding audits. Based on the recommendations of the SA team/ adverse feedback on the quality of product supplied, DGQA reserves the right to withdraw the GCS/ SC of the firm.

4. This document enables the Field unit/ Audit team in undertaking a prescribed course which is logical and standardised.

**Chapter 2****PREPARATORY ACTIVITIES****1. Terms of Reference.**

- (a) MoD (DDP) Order No. 43(5)/ 2015/ D(QA) dated 24 Mar 2017 regarding Green Channel Status (GCS).
- (b) MoD (DDP) Order No. 93244/14/SC/DGQA/Adm-19/D(QA)/19 dated 13 May 2019 regarding Self Certification(SC).
- (c) SOP for GCS promulgated by DGQA.
- (d) GCS/SC Certificate(s) No. ....
- (e) DQA(N) letter DQAN/SG-I/1005 dated 12 Oct 20 – Amplifying Guidelines for OPAs.
- (f) DQA(N) letter DQAN/SG-I/1005 dated 16 Nov 20 – Amplifying Guidelines for QA Units and SC/ GCS firms.

**2. Check- Off- List.** Following check-off lists are relevant for undertaking SA:-

- (a) Where POs have been issued during the period of Audit (Appendix A).

**OR**

- (b) Where POs have not been issued during the period of Audit (Appendix B).

**3. Previous Surveillance Audit Observations.** Details of observations raised during the previous SA and their present status as per following format:-

Sl. No	Previous Surveillance Audit Observations	Date raised	Action by	Action taken	Reasons (if pending)

**Chapter 3****INTERNAL CHECKS**

1. Evaluate the following prior on-site visit:-

(a) **Purchase Orders**. Number of POs of Green Channel Status/ Self Certified product during the period under consideration, since last audit.

(i) Number of POs placed on the firm.

(ii) Number of POs completed by firm.

(iii) Number of POs In-progress at firm.

(iv) Were all these POs reported to the field unit within one month of issue of the PO? If No, reasons for not reporting.

(v) Intimation for readiness of stores for dispatch on Conformance Certificate (CC) alongwith Test Reports and Warranty Certificate was reported to the field unit.

(vi) **Delivery Rating > 90 %**

Y/N
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(vii) Cross check above details and match with details submitted by firm as per Annexure 1A. Resolve discrepancies.

Y/N
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(b) **Critical To Quality (CTQ)**.

(i) List of CTQs (As chosen during initial certification).

(ii) Chosen CTQs for Audit (Min. 25%) of the above. To be different from the last three Surveillance Audits (if conducted) towards ensuring that all CTQs are audited within 4 audits.

(iii) **C<sub>pk</sub> for identified CTQs above. Confirm all C<sub>pk</sub> > 1.33**

Y/N
-----

(c) **Stability**. **Control/ X-Bar and R chart** (for each CTQs selected) at 1 (b) above. Confirm all charts in range.

Y/N
-----

2. In case of any 'No' at Para 1 above, same will need to be analysed and deliberated along with the firm during the visit to the firm and same reported to HQ DQA(N).

3. This data and its interferences will be used for making the Report(Chap 5 refers).



**Chapter 4****ON-SITE VISIT****1. Name Of Audit Team**

- (a) Nodal Officer of Unit
- (b) Authorised Functionary of Firm
- (c) Other Co-opted Members

**2. Administrative On-Site Checks.** Following to be checked at firm premises:-

(a) Confirm designated functionaries (Nodal Officer) of the firm along with his signature stamp and seal same as last reported.

Y/N

(b) Confirm continuation of all Quality System certification as approved at the time of assessment for award of GCS/SC.

Y/N

(c) Number of Non-Conformity (NC) raised by auditing agencies/ Quality Management System (QMS) audit/ ISO audit and details thereof and closure status of same. Different clauses of QMS such as leadership, planning, support, operation etc. be ascertained during audit. Satisfied.

Y/N

(d) Percentage in Quality Team Members changed. Beyond 25% unacceptable.

Y/N

(e) Review of documents w.r.t maintenance and calibration of M/c/ tools/ test equipment used in assembly and testing registered equipment. Satisfied.

Y/N

(f) Check adherence to No. of Control samples to be drawn, samples actually drawn and retention of the same batch wise traceability. Satisfied.

Y/N

(g) Are all quality checks, as per duly approved QAP being undertaken by internal QA team and all records maintained. Satisfied.

Y/N

(h) Check I- Note issued by firm as per extant policy. Satisfied.

Y/N

(j) Check performance audit of outsourced vendor by parent firm. Satisfied.

Y/N

(k) Has the manufacturer submitted Annual certificate as per the conditions of GCS/SC. Satisfied.

Y/N

3. **Technical Checks.**

(a) Confirm no change in QAP referred for GCS/SC.

Y/N

(b) Confirm no changes in process. Satisfied.

Y/N

(c) Any deviation in process (to be authenticated with Photographs) and separately decision on continuation. Satisfied.

Y/N

(d) Confirm no changes in part number of certification sub system/ spares listed in the certificate. Satisfied.

Y/N

(e) Confirm batch-wise traceability is maintained by firm from raw material to finished product state. Satisfied.

Y/N

## **Chapter 5**

### **REPORT**

1. The report format is placed at Appendix C.
2. This is the only document required to be sent to HQ DQAN(without enclosures).  
Report contains following details:

Para 1 – Names of Audit Team	-(Derived from Para 1 Chap 4)
Para 2 – Introduction	-(Contains basic data on firm GCS/SC Certificate and QAP details)
Para 3 – Background	-(Contains basic data on audit being conducted)
Para 4 – Purchase Orders	- (Refer Para 1(a) Chap.3)
Para 5 –Critical to Quality(CTQ)	- (Refer Para 1(b) Chap.3)
Para 6 – Stability	- (Refer Para 1(c) Chap.3)
Para 7 – Checks	- (Para 2&3 Chap.4)
Para 8 – Confirmation	- (Confirmation regarding corrective measure instituted by the firm)
Para 9 – Changes (Interpretation)	
Para10– User feedback	- If available
Para11– Observations	
Para12 – Recommendation	

3. **Recommendation for Continuation of certification or its Re-evaluation to be clearly indicated by the SA team.**

**Chapter 6**

**FOLLOW UP**

1. **Follow Up with Firm.**

(a) Letter/ Fax to firm regarding all observation made during the SA keeping HQ DQAN informed.

(b) Monitor the resolution of outstanding issues/observations raised during the previous Surveillance Audits.

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**CHECK- OFF LIST FOR SURVEILLANCE AUDIT OF THE FIRM HAVING EXECUTED  
PURCHASE ORDERS DURING THE PERIOD OF AUDIT**

1. The following information/ data needs to be sought from the firm prior to undertaking Surveillance Audit:-

(a) Confirmation that governing conditions of GCS/SC mentioned overleaf of the GCS/ SC certificate is being complied with. Y/N

(b) Details of change if any in designated functionaries. Y/N

(c) PO Details of stores supplied under GCS/ SC as per following format:-

Sl. No.	PO No. & date	Delivery date as per PO	Store	Qty	Store delivery date or planned date if yet to be delivered	Confirm readiness to despatch stores intimated to CQAO/ QAO on conformance certificate alongwith relevant documents # (Para 6.4 of DDP letter dated 13 May 19 refers for SC). *(Para (iii) of Part IV Page 14 of DGQA SOP on GCS refers).	If 'N' then reason for violation of policy & corrective measure institute by firm.
						Y/N	

# Extract placed at Annexure 1  
\* Extract placed at Annexure 2

} for ready reference.

(d) Chosen CTQs for this Audit (Min. 25%) are to be different from the last three Surveillance Audits (if conducted) towards ensuring that all CTQs are audited within 4 audits. Record of any 25% Process Data/ Process Capability index (Cpk) for corresponding Critical to Quality processes following format:-

(i) Number of CTQs identified during initial certifying process.

(ii) Number of CTQs covered in last 3 SA (If conducted).

(iii) Number of CTQ (25%) identified from amongst the initial CTQs [Para 1(d) (i)] not covered in [Para 1(d) (ii)] above for this audit.

(iv) Final list of CTQs decided:-

Sl. No.	CTQ proposed for this SA	Cpk calculated	Remarks

(v) Control charts for CTQ at sub para (iv) above

(e) All Test Reports, Warranty certificates, Conformance certificates and Internal I-notes issued for products cleared under GCS/ SC during this period of audit are available with the inspection unit for POs mentioned at (Para 1(c) above).

Y/N
-----

(f) **Previous Surveillance Audit Observations.** Details of observations raised during the previous SA and their present status as per following format:-

Sl. No.	Previous Surveillance Audit Observations	Date raised	Action by	Action Taken	Reasons (If pending)

**CHECK- OFF LIST FOR SURVEILLANCE AUDIT OF THE FIRM NOT HAVING  
EXECUTED PURCHASE ORDERS DURING THE PERIOD OF AUDIT**

1. The following information/ data needs to be sought from the firm prior to undertaking Surveillance Audit:-

(a) Confirmation that governing conditions of GCS/SC mentioned overleaf of the GCS/ SC certificate is being complied with.

(b) Details of change in designated functionaries.

(c) Confirmation that no infrastructure modifications like upgrade/ downgrade of machineries/ testing facilities etc., at main vendor premise. If undertaken this list of such modifications to be enclosed in details.

(d) Status of QMS remain same as was when the certification was awarded.

(e) Chosen CTQs for this Audit (Min. 25%) are to be different from the last three Surveillance Audits (if conducted) towards ensuring that all CTQs are audited within 4 audits. Record of any 25% Process Data/ Process Capability index (Cpk) for corresponding Critical to Quality processes following format:-

(i) Number of CTQs identified during initial certifying process.

(ii) Number of CTQs covered in last 3 SA (If conducted).

(iii) Number of CTQ (25%) identified from amongst the initial CTQs [Para 1(d) (i)] not covered in [Para 1(d) (ii)] above for this audit.

(iv) Final list of CTQs decided:-

Sl No.	CTQ proposed for this SA	Cpk calculated	Remarks

(f) **Previous Surveillance Audit Observations.** Details of observations raised during the previous SA and their present status as per following format:-

Sl. No.	Previous Surveillance Audit Observations	Date raised	Action by	Action Taken	Reasons (If pending)

**CONFORMANCE CERTIFICATE**

1. Confirm readiness to dispatch of Self Certification stores intimated to CQAO/ QAO in the following format. (Extract of Para 6.4 of DDP letter dated 13 May 19 refers for SC):-

Name of the firm

**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
- (d) Supply Order No & Date
- (e) Governing specification/Drawing
- (f) Lot/Batch No
- (g) Date of Manufacture
- (h) Quantity
- (j) 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

Date:

Name, Designation & Signature of the  
authorized functionary of the firm



**CONFORMANCE CERTIFICATE**

1. Confirm readiness to dispatch of Green Channel Status stores intimated to CQAO/QAO in the following format. (Para (iii) of Part IV Page 14 of DGQA SOP on GCS refers).

Name of the Firm

**CONFORMANCE CERTIFICATE**

The stores as per details given below have been inspected and it is confirmed that the same are released under the Green Channel Status Policy:-

- (a) Green Channel Status approval No and date
- (b) Nomenclature
- (c) Part No
- (d) Supply Order No & Date
- (e) Governing specification/Drawing
- (f) Lot/Batch No
- (g) Date of Manufacture
- (h) Quantity
- (j) 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 "Green Channel Status" mark.....and that the above mentioned stores have been manufactured as per the Quality System approved at the time of grant of Green Channel Status Certification and that they conform to the specification/requirements in all respects.

Seal Name, Designation & Signature of the

Date: authorised functionary of the Firm

**SURVEILLANCE AUDIT OF (Firm)**  
**(Running Serial Number)/ (Year)**

**1. Name of Audit Team.**

- (a) Nodal Officer of Unit
- (b) Authorised Functionary of Firm
- (c) Other Co-opted Members

**2. Introduction.**

(a) In pursuance to the Terms of References mentioned at para 1 chapter 2 of “Surveillance Audit for GCS & SC Awarded firms” documents issued by HQ DQAN, the periodic surveillance audit of M/s..... which have been granted GCS/SC certification\*\*\* for their systems, has been undertaken by this Unit and a report on the same is being forwarded to DQA(N).

(b) QAP No.....dt.....(as indicated in GCS/ SC Certificate)  
Approved QAP in force during conduct of present audit No.....dt.....

**3. Background.**

(a) M/s.....has been granted GCS/SC certification for (system/ equipment name) on.....valid till.....

(b) Periodic Audits of the Process, Quality system of the firm in form of Surveillance Audit have been specified in the policy guidelines. In accordance with these guidelines the audit was undertaken by the nominated Audit team from (date).....to.....

Ser.	Audit Details	Date
i.	1 <sup>st</sup> Surveillance audit /(to be conducted within 3 month)	
ii.	2 <sup>nd</sup> (to be conducted within 6 month)	
iii.	3 <sup>rd</sup> (to be conducted within 9 month)	
iv.	4 <sup>th</sup> (to be conducted within 12 month)	
v.	5 <sup>th</sup> (to be conducted within 15 month)	
vi.	6 <sup>th</sup> (to be conducted within 18 month)	
(a) In the first year post award of SC a minimum of 4 Surveillance Audits to be undertaken. (b) In case of GCS awarded firms a minimum of 02 audits in a year at 6 monthly intervals are to be undertaken. (c) No. of audits can be increased by respective HOE based on Customer Feedback and Outcome of Audit results		

4. **Purchase Orders.** Number of POs of GCS/ SC product during the period under consideration, since last audit.

- (i) Number of POs placed on the firm.
- (ii) Number of POs completed by firm.
- (iii) Number of POs In-progress at firm.
- (iv) Were all these POs reported to the field unit within one month of issue of the PO? If No, reasons for not reporting.
- (v) Intimation for readiness of stores for dispatch on Conformance Certificate (CC) along with Test Reports and Warranty Certificate was reported to the field unit. Y/N
- (vi) **Delivery Rating > 90 %** Y/N

5. **Critical TO Quality (CTQ).**

- (a) List of CTQs (As chosen during initial certification).
- (b) Chosen CTQs for Audit (Min. 25%) of the above. To be different from the last three Surveillance Audits (if conducted) towards ensuring that all CTQs are audited within 4 audits.
- (c)  **$C_{pk}$  for identified CTQs above. Confirm all  $C_{pk} > 1.33$**  Y/N

6. **Stability.** **Control/ X-Bar and R chart** (for each CTQs selected) at 1 (b) above. Confirm all charts in range. Y/N

7. **ON-SITE VISIT.**

(a) **Administrative On-Site Checks.** Following to be checked at firm premises:-

- (i) Confirm designated functionaries (Nodal Officer) of the firm along with his signature stamp and seal. Same as last reported. Y/N

118 s (viii)

- (ii) Confirm continuation of all Quality System certification as approved at the time of assessment for award of GCS/SC. Y/N
- (iii) Number of Non-Conformity (NC) raised by auditing agencies/ Quality Management System (QMS) audit/ ISO audit and details thereof and closure status of same. Different clauses of QMS such as leadership, planning, support, operation etc. be ascertained during audit. Y/N
- (iv) Percentage in Quality Team Members changed. Beyond 25% unacceptable. Y/N
- (v) Review of documents w.r.t maintenance and calibration of M/c/ tools/ test equipment used in assembly and testing registered equipment. Y/N
- (vi) Check adherence to No. of Control samples to be drawn, samples actually drawn and retention of the same batch wise traceability. Y/N
- (vii) Are all quality checks, as per duly approved QAP being undertaken by internal QA team and all records maintained. Y/N
- (viii) Check I- Note issued by firm as per extant policy. Y/N
- (ix) Check performance audit of outsourced vendor by parent firm. Y/N
- (x) Has the manufacturer submitted Annual certificate as per the conditions of GCS/SC. Y/N
- (b) **Technical Checks.**
- (i) Confirm no changes in process. Y/N
- (ii) Any deviation in process and separately decision on continuation. Y/N

(iii) Confirm no changes in part number of certification sub system/ spares listed in the certificate.

Y/N

(iv) Confirm batch-wise traceability is maintained by firm from raw material to finished product state

Y/N

8. For any “N” for Serial 4 to Serial 7, then have corrective measures been instituted by the firm.

Y/N

9. **Changes (If any).** Report any changes to the following i.r.o. registration:

- (a) Major machinery/ equipment or technology.
- (b) Number of personal in the QMS team beyond 25%.
- (c) Technical upgradation, alteration in design, drawings and specification.
- (d) Manufacturing procedures, indigenisation and obsolescence.

10. **User Feedback.** Details of adverse inputs/ recommendations on the item.

Sl. No.	Details of adverse input # / Recommendation raised	From which OPA	From which unit	Unit Letter No. & Date	Cause of defect identified	Rectifications carried out by DPSU/ PVt Vendor	Corrective/ preventive Action taken by firm

# Reply of firm rep to be included.

11. **Observation of Audit Team:-**

(a)  (b)  (c)
---------------------------

12. **Recommendation.**  
**continuation of certification.**

**Recommended to Continue Certification/ re-evaluate**

(Signature)  
Authorised functionary of firm

(Signature)  
Co-opted Members

(Signature)  
Nodal Officer of Unit

**COUNTERSIGNED**

(CQAO/QAO)

**Approved at HQ**

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Africa Avenue, New Delhi - 110 011

12575/POLICY-2023/DQA(WP)/WP-I/02

27 Mar 23

All Field Units of DQA(WP)

**COMMENCEMENT OF QA INSPECTIONS OF SHIPYARD ORDERS WITH  
SCANNED COPIES OF DRAWINGS AND ATPs**

1. Reduction in inspection timelines by eliminating factors that outstretch/ delay QA inspections is one of the key focus areas of DQA(WP). This requirement has assumed greater significance as delivery period of the new construction projects and timelines of equipment to be installed onboard have become stringent to keep pace with the overall warship construction plans of the *IN*.

2. In one of the recently conducted Pre-CPRMs, the shipyard proposed that QA inspections should be commenced with scanned copies of approved drawings and ATPs, instead of waiting for hard copies to be delivered by the shipyard/ firm, so as to prevent loss of time. Since physical delivery of approved drawings through post may take time and the same can be instantaneously shared by IHQ MoD(Navy) or shipyard through e-mail, the proposal has been accepted by this Headquarters. All QA inspections for shipyard orders, here-in-after, are to be commenced on receipt of scanned copies of approved drawings and ATPs either from IHQ MoD(Navy) or Shipyard with following caveats:-

- (a) The drawing/ ATP should not be classified (SECRET and CONFIDENTIAL) in nature.
- (b) Scanned copy of the drawings and ATPs should be submitted in **.pdf** format. They should be legible and bear the signatures/ endorsement/ stamp of competent authority. The resolution of the drgs should be atleast 600 dpi with A3 size paper setting.
- (c) Hard copy of approved drawings and ATPs along with covering letter is submitted prior to issue of I-Notes.

1. Following infosec measures are to be taken while handling the scanned copy of the drawings and ATPs:-

(a) On receipt of the e-mail with attached drawings and ATPs, all Field Units are to transfer the same from the Internet PC to Unit's LAN PC.

(b) Scanned copy of the drawings and ATPs are not to be stored in the internet PC.

4. Modalities for digital submission and approval of drawings are being worked out.. However, it is requested that the aforesaid directives regarding commencement of inspections with scanned copies of approved drawings and ATPs be implemented with immediate effect.

-Sd-

(आर् एस् मिश्रा/ RS Mishra)

केपटेन/ Captain

केपटेन क्यू.ए (टेक)/ Captain QA (Tech)

कृतेअ.म.नि.गु.आ (युपो.प.)/ for ADGQA (WP)

**Copy to:-**

The Chief of the Naval Staff  
[for Cmde(WDB)]  
IHQ MoD(Navy)  
A-33, Kailash Colony, New Delhi 110048

The Chief of the Naval Staff  
[for Cmde (SP)]  
Room No 901- 9<sup>th</sup> Floor, Chanakya Bhawan  
Chanakypuri, New Delhi 110021

**Distribution:-**

The Chief Quality Assurance Officer Chief Quality Assurance Establishment (EFS) National Highway No 5 Visakhapatnam 530018	The Chief Quality Assurance Officer Chief Quality Assurance Establishment (WE/WP) DGQA Complex, LBS Marg Vikroli (West), Mumbai 400083
The Chief Quality Assurance Officer Chief Quality Assurance Establishment (MS) 7 <sup>th</sup> Floor NMRL DGQA Complex, Tiger Gate Naval Dockyard, Mumbai 400001	The Quality Assurance Officer Quality Assurance Establishment (WE) Block-1 Annexe (West Wing) Bharat Heavy Electricals Ltd Bhopal 462022



The Quality Assurance Officer Quality Assurance Establishment(WE/EFS) DGQA Complex Palavanthangal Post Chennai 600114	The Quality Assurance Officer Quality Assurance Establishment (WE) Besides Don Bosco High School Makarpura Road, B/H Shell Petrol Pump ONGC-PO Vadodara 390009
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Africa Avenue, New Delhi - 110 011

12575/POLICY-2023/DQA(WP)/WP-I/03

05 Apr 23

All Field Units of DQA(WP)

### **STANDARD FORMAT FOR RAISING I-CALLS**

1. Inspection Calls (I-Calls) are raised by manufacturers/ suppliers to tender readiness of equipment/ stores and seek deputation of inspectors for undertaking QA inspections. Following issues pertaining to I-Calls warranted attention:-

- (a) Format for raising I-Calls is not standardised and all Field Units use their own formats.
- (b) I-Calls are forwarded by firms through post/ hand delivery/ e-mail depending on their convenience. It is needless to mention that e-mails are the most economical and fastest means for raising I-Calls.
- (c) Many-a-times, manufacturers/ suppliers raise I-Calls without completing the previous stage inspections, submitting documents/ test reports iro the previous stage inspections and completing mandatory in-house self tests.

2. In order to address the aforementioned issues and streamline the process of raising I-Calls, formats for raising I-Calls were obtained from all Field Units and the same were examined at this Headquarters. Taking cue from all the I-Call formats received, a standard format for I-Calls was formulated with following objectives:-

- (a) The format should be compatible for forwarding by e-mails.
- (b) It will serve as a check-off list for the firm to ensure that they are ready in all respect to offer inspections.
- (c) Information sought from manufacturers/ suppliers would be basic minimum and necessary/ sufficient for deputing inspectors for on-site inspections.

3. The draft standard format for I-Calls was circulated to all Field Units and based on the inputs/ feedback received, the same has been revised/ optimised and placed at enclosure.

4. It is requested that the standard format for I-Calls be implemented by all Field Units under DQA(WP) with immediate effect and circulated amongst all manufacturers/ suppliers under the respective areas of jurisdiction for compliance. Use of digital signatures to endorse the I-Calls is permitted. All I-Calls are to be here-in-after forwarded by e-mails only and delivery of the same by hand/ postal service is to be done away with.

-Sd-

(आर् एस् मिश्रा/ RS Mishra)

केपटेन/ Captain

केपटेन क्यू.ए (टेक)/ Captain QA (Tech)

कृते अ.म.नि.गु.आ (युपो.प.)/ for ADGQA (WP)

**Enclosure**:- As mentioned

**Distribution List**:-

The Chief Quality Assurance Officer Chief Quality Assurance Establishment (MS) 7 <sup>th</sup> Floor NMRL DGQA Complex, Tiger Gate Naval Dockyard Mumbai 400001	The Chief Quality Assurance Officer Chief Quality Assurance Establishment (EFS) National Highway No 5 Visakhapatnam 530018
The Chief Quality Assurance Officer Chief Quality Assurance Establishment (WE/WP/EFS) DGQA Complex, LBS Marg, Vikroli (West) Mumbai 400083	The Quality Assurance Officer Quality Assurance Establishment (WE) Block-1 Annexe (West Wing) Bharat Heavy Electricals Ltd Bhopal 462022
The Quality Assurance Officer Quality Assurance Establishment (WE/EFS) DGQA Complex, Palavanthangal Post Chennai 600114	The Quality Assurance Officer Quality Assurance Establishment (WE) Besides Don Bosco High School Makarpura Road, B/H Shell Petrol Pump ONGC-PO, Vadodara 390009
The Quality Assurance Officer Quality Assurance Establishment (WE/FPC) Jalhali Camp Road, Yeshwantpur P.O. Bangalore - 560 022	The Quality Assurance Officer Quality Assurance Establishment (WE/WP) Commissariat Road, Hastings Kolkata 700022
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The Quality Assurance Officer Quality Assurance Establishment (WE) Bldg No 375, CQAE (EE) Complex, Aundh Camp Pune 411027	The Quality Assurance Officer Quality Assurance Establishment (N) DGQA Complex, Mathura Road Badarpur New Delhi 110044
The Quality Assurance Officer Quality Assurance Establishment (WE) Building, T-24, Adj. Kendriya Vidyalaya-IV S&T Road Jalandhar Cantt 144005	

**Encl to DQA(WP) letter 12575/POLICY-2023/  
DQA(WP)/WP-I/03 dated 05 Apr 23**

Tel No:  
e-Mail:

Firm Name  
Address

Ref No:

Date: DD/MM/YYYY

Name of Inspection Agency

**INSPECTION CALL - SL NO**

It is requested to depute your rep/(s) to carry out QA inspection of material as mentioned below:-

1.	Purchase Order/ Sub-order No and date	
2.	Order placing authority/ agency	
3.	Broad description of item/(s) (Table depicting <b>PO Sl No, Part No, Item Description, Manufacturing Year, Qty Ordered &amp; Qty Offered</b> is to be enclosed)	
4.	Proposed date/(s) for inspection	
5.	Place of inspection	
6.	Inspection instruction as per PO	
	<b>7(a) Inspection against approved drawings &amp; QAP</b>	<b>7(b) Inspection against OEM Tech Specs</b>
	GA/ component drawing reference	Approved PIL/ DBOM reference
		Documents as per Appendix-'E' of QAD-R02 available & enclosed
		Yes/ No
	Approved QAP/ SQAP No & date	Documents iaw Para 0605 (c) of QAD-R02 available & enclosed
		Yes/ No
	Applicable Clause No/(s) of approved QAP/ SQAP	
	Particulars of inspection/(s) being offered	
	Approved ATP, FATs/ IFATs Protocol etc enclosed	
	Yes/ No/ NA	
	Previous stage inspections (self tests, lab tests, NDT, Type Tests etc) iaw approved QAP/ SQAP completed & all reports submitted	
	Yes/ No/ NA	
	Previous stage inspection reports, CoCs, test certificates, Type Test reports NDT reports etc, not submitted earlier, enclosed	
	Yes/ No/ NA	
8.	Self-inspection by in-house QC satisfactory & reports/ test certificates attached	Yes/ No
9.	Measuring instruments/ equipment to be used are available and calibrated	Yes/ No/ NA
10.	PSPP as per PO/ Offered Lot No/(s)	PSPP / Offered Lot No/(s)
11.	Delivery date/ Extended delivery date	
12.	Contact person & telephone number	
13.	Any other relevant information	

(Authorised Signatory)  
Digital signature permitted

**Attachment:-** As above

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12575/POLICY/DGQA/WP-TC

07 Sep 22

All Field Units of DQA(WP)

### **CONDUCT OF REMOTE INSPECTION**

1. Refer to DQA(WP) letter 29814/MISC/DGQA/WP-TC dated 24 Feb 21.
2. With the onset of Covid pandemic, conduct of QA inspections at factory premises as per the standard established procedures had come to halt due to imposition of lockdowns, travel restrictions and other preventive measures to curtail the spread of infection. Even the factories were leanly manned to meet the minimum inescapable delivery commitments and were disinclined to host any inspectors/ visitors at their premises as a safety precaution. In order to circumvent the stalemate and meet the pressing requirements of equipment and critical spares for the ongoing shipyard projects and operational ships, the available digital technology was harnessed and a number of QA inspections were undertaken remotely by the Field Units of DQA(WP) using live video-streaming, data logging devices, SCADA systems etc. The initiative was well appreciated as it gave the desired momentum to the shipbuilding works and also facilitated cashflow at the manufacturers end.
3. The severity of Covid pandemic has waned over a period of time and physical travel of personnel and material have resumed as normal. The factories have also started full fledged production and there are no restrictions imposed either by the factories themselves or by the local administration for conduct of physical inspections at the factory premises. Hence, it would be prudent now to commence QA inspections physically as per the standard established procedure and do away with the remote inspections progressively.
4. In light of the above, all Field Units of DQA(WP) are requested to gradually reduce the number of QA inspections undertaken remotely and keep it to bare minimum. All QA inspections post Dec 2022 are to be undertaken physically, as hitherto. Further, inspections are to be planned/ scheduled in a manner so that multiple inspections specified in the approved QAPs can be clubbed together and repeated deputation of inspectors to the factory premises is minimised.

5. This letter supersedes all previous communications made by DQA(WP) on the subject issue.

-Sd-  
(राजेश सेठी / Rajesh Sethy)  
कमांडर/ Commander  
केप्टेन क्यू.ए (टेक)/ Captain QA (Tech) (AOL)  
कृतेअ.म.नि.गु.आ (युपो.प.)/ for ADGQA (WP)

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12575/POLICY-2023/DQA(WP)/GP-I/01

10 Jan 23

All Field Units of DQA(WP)

### **GUIDELINES FOR RAW MATERIAL TESTING OF NICKEL ALUMINIUM BRONZE CASTINGS MANUFACTURED AS PER DEF STAN 747**

1. DQA(WP) undertakes QA inspections of significant number of Nickel Aluminium Bronze (NAB) castings manufactured as per the provisions of DEF STAN 747. Considering the criticality of tests undertaken during the Raw Material Inspection stage and its bearing on the service-life of the castings, broad guidelines for conduct of Raw Material Inspection of NAB Castings are enumerated in the ensuing paragraphs.

2. **Raw Material.** The following are relevant as regards to raw material to be used for manufacturing NAB castings complying to DEF STAN 747:-

(a) **The castings are to be made from Ingots and Manufacturer's Own Approved Scrap.** No other scrap, including scrap procured from market is permitted for use.

(b) **Manufacturer's Own Approved Scrap.** Scrap generated at the manufacturer's premises, comprising NAB risers, runners and defective castings, composition of which has been established wrt the complete range of alloying elements and impurities and is segregated/ identifiable to the satisfaction of the Inspection Agency are to be considered as **Manufacturer's Approved Scrap.** In case the manufacturer intends to use own approved scrap, they are to segregate the same and store them separately. The scrap may be inspected by the Inspection Agency at a short notice as a part of Quality Surveillance. The manufacturer has to handover a Certificate of Conformance (CoC) stating that only Manufacturer's Own Approved Scrap has been used and no other scrap, including scrap procured from market has been used for pouring.

(c) **Use of Virgin Metals.** The ingots that shall be used for casting the end product are to be cast from **Virgin Metals** as given at table below. The manufacturer shall submit Mill Test Certificates (TCs) for the virgin metals used for



casting of ingots to the Inspection Agency. Further, the manufacturer should also undertake wet analysis of the virgin material to reconfirm the purity.

(i)	Nickel	Chemical composition as per BS373:Grd R99.9
(ii)	Iron	High purity (99.5% w/w) with Carbon content < 0.05% (w/w)
(iii)	Aluminium	Commercially very pure Grade 99.9% (w/w)
(iv)	Copper	Complying to latest version of BSEN 1976 or BSEN 1978
(v)	Manganese	High purity electrolytic grade

3. **Pouring of Virgin Metals to Ingots.** As mentioned at Para 2(c) above, the ingots are to be poured from virgin metals. The ingots are to be embossed/ hot punched with unique cast/ heat number for traceability. In case the embossing/ hot punching is not legible, the ingot is not to be used further. Traceability of the Mill TCs of the Virgin Metal used wrt the ingots casted is to be maintained. The Inspection Agency will examine the Mill TC and the traceability at short notice as part of Quality Surveillance.

4. **Outsourced Ingots.** The manufacturer may outsource the ingots from suitable sources, if in-house facility for casting ingots is not available. In such cases, Mill TC and a Certificate from the Ingot Manufacturer are to be submitted to the Inspection Agency stating that the ingots have been cast from Virgin Metals only. The Mill TC should also specify the complete range of alloying elements and impurities which should meet the provisions of DEF STAN 747. Traceability of the certificate with the batch/ lot/ heat number of the ingots is to be ensured by the ingot manufacturer. The logo of the ingot manufacturer and heat number of the ingots is to be embossed/ hot punched at suitable locations on the ingots. In case the embossing/ hot punching is not legible, the ingot is not to be used.

5. **Ingot Analysis.** Each ingot is to be lab tested by the manufacturer in their own facility. Samples taken from randomly selected ingots (out of ingots already tested by manufacturer) are to be forwarded to NABL accredited laboratory for testing of chemical composition. The samples are to be drawn, identified and sealed by the Inspection Agency prior to forwarding to the laboratory. Ingots are to be used for further production activities only if the laboratory report confirms compliance to the specifications vide DEF STAN 747.

6. **Heat Treatment.** The castings poured from the ingots and approved scrap are to have unique cast/ heat number for traceability. The castings are to be heat treated (along with the test bars/ integral test bars, if applicable), as specified in DEF STAN 747. Heat Treatment Report/ Chart with the traceability details of the castings subjected to heat treatment are to be examined by the Inspection Agency during analysis of reports.

7. **Chemical Composition, Mechanical Property Test and Grain Structure Analysis of Castings.** Samples randomly taken from the castings itself or test bars or integral test bar attached to the castings, as applicable, are to be forwarded to the NABL accredited laboratory for testing the chemical composition and mechanical properties.

The samples are to be drawn, identified and sealed by the Inspection Agency prior to forwarding to the laboratory. Castings are to be cleared for further manufacturing activities, only if the laboratory report confirms compliance to the specifications provided in DEF STAN 747.

8. **Visual Inspection**. The castings are to be 100% visually inspected by the Inspection Agency and where necessary, 5x magnification optics may be used for identification and recording of infirmities. Finished condition of all surfaces is to be clean and free from cracks or other surface defects.

9. **Non-Destructive Testing**. All NAB castings are to be subjected to NDT as per approved QAP/ SQAP and DEF STAN 747 for identification of surface and sub-surface flaws.

10. **Rectification of Defects**. In case of any defect in the castings, the manufacturer may undertake repairs by welding, blending, impregnation etc as per guidelines vide DEF STAN 747 at their own risk and cost. The repair procedure is to be submitted to the Inspection Agency for information. The procedure to be followed for repair is solely the manufacturer's responsibility and Inspection Agency will no way be responsible for success/ failure of the repair undertaken. Repeat heat treatment of the castings is to be undertaken, if necessary as per DEF STAN 747, on completion of repair works and the Heat Treatment Report/ Chart with traceability details of the castings subjected to repeat heat treatment are to be submitted for review by the Inspection Agency. Thereafter, the castings are to be subjected to Visual Inspection and NDT as specified at Para 8 and 9 above.

11. The process flow charts for conduct of Raw Material Inspection of NAB castings as per DEF STAN 747 are placed at Enclosure-I & II. Contents of this letter shall be included in all SQAPs involving checks of NAB castings, already promulgated/ to be promulgated by DQA(WP).

12. It is requested that the above guidelines be complied by all Field Units of DQA(WP) for all POs issued post date of issuance of the letter.

-Sd-

(रजेश सेठी / Rajesh Sethy)

कमांडर/ Cdr

केप्टेन क्यू.ए (टेक) (ए ओ डि)/ Capt QA  
(Tech)(AOD)

कृते अ.म.नि.गु.आ (युपो.प.)/ for ADGQA (WP)

**Distribution List:-**

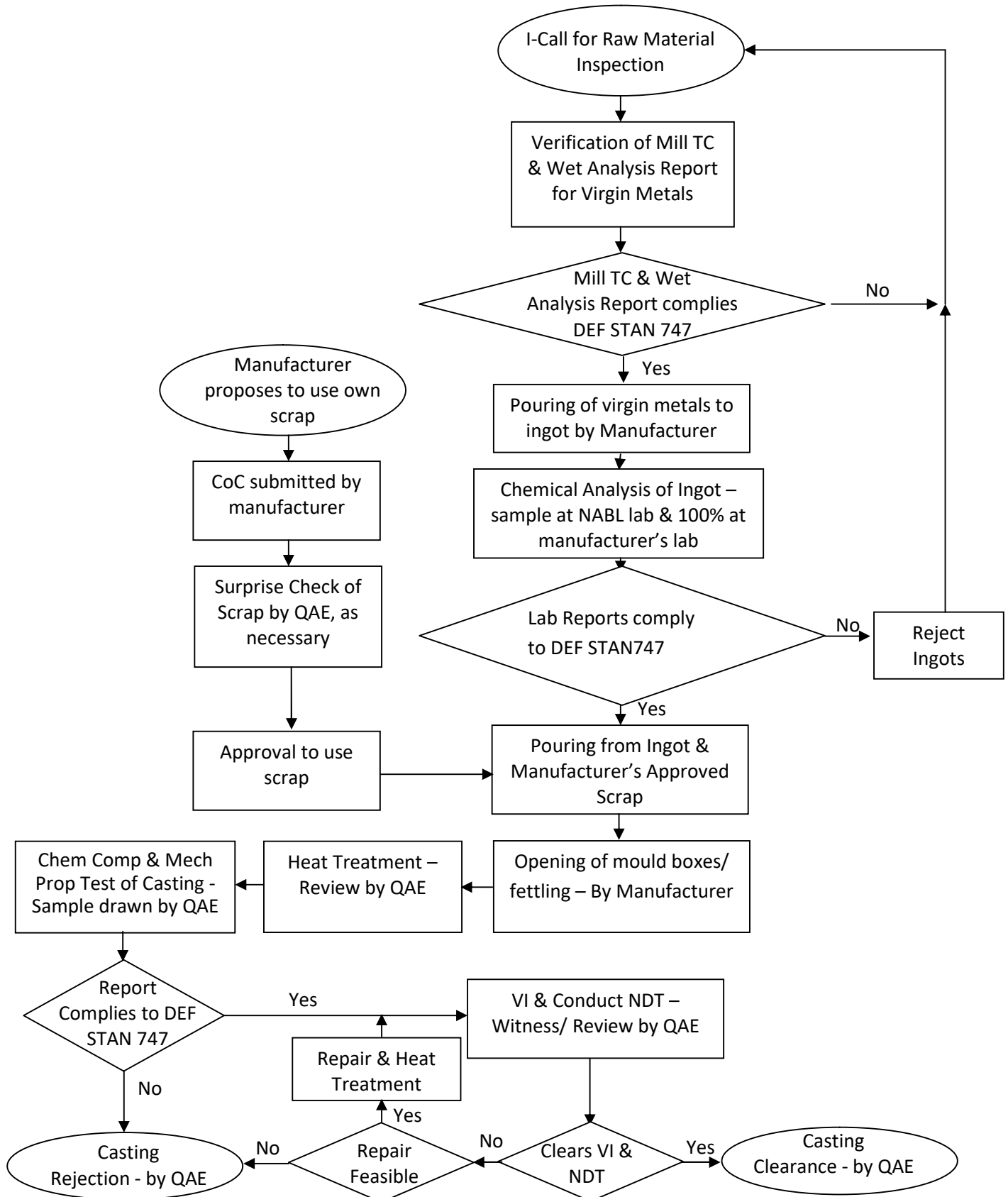
The Chief Quality Assurance Officer Chief Quality Assurance Establishment (MS) 7 <sup>th</sup> Floor NMRL DGQA Complex, Tiger Gate Naval Dockyard Mumbai - 400 001	The Chief Quality Assurance Officer Chief Quality Assurance Establishment (EFS) National Highway No 5 Visakhapatnam - 530 018
The Chief Quality Assurance Officer Chief Quality Assurance Establishment (WE/WP/EFS) DGQA Complex, LBS Marg, Vikroli (West) Mumbai - 400 083	The Chief Quality Assurance Officer Quality Assurance Establishment (WE) Annexe N-8A, 'H' Block, DHQ P.O. New Delhi - 110 011
The Quality Assurance Officer Quality Assurance Establishment (WE/FPC) Jalhali Camp Road, Yeshwantpur P.O. Bangalore - 560 022	The Quality Assurance Officer Quality Assurance Establishment (WE) Block-1 Annexe (West Wing) Bharat Heavy Electricals Ltd Bhopal - 462 022
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The Quality Assurance Officer Quality Assurance Establishment (WE) Building, T-24, Adj. Kendriya Vidyalaya-IV S&T Road Jalandhar Cantt - 144 005	

**Copy to:-**

The Chief of the Naval Staff  
[for Cmde (ME)]  
Directorate of Marine Engineering  
Integrated Headquarters, Ministry of Defence (Navy)  
A-Wing, Sena Bhawan  
New Delhi - 110 011

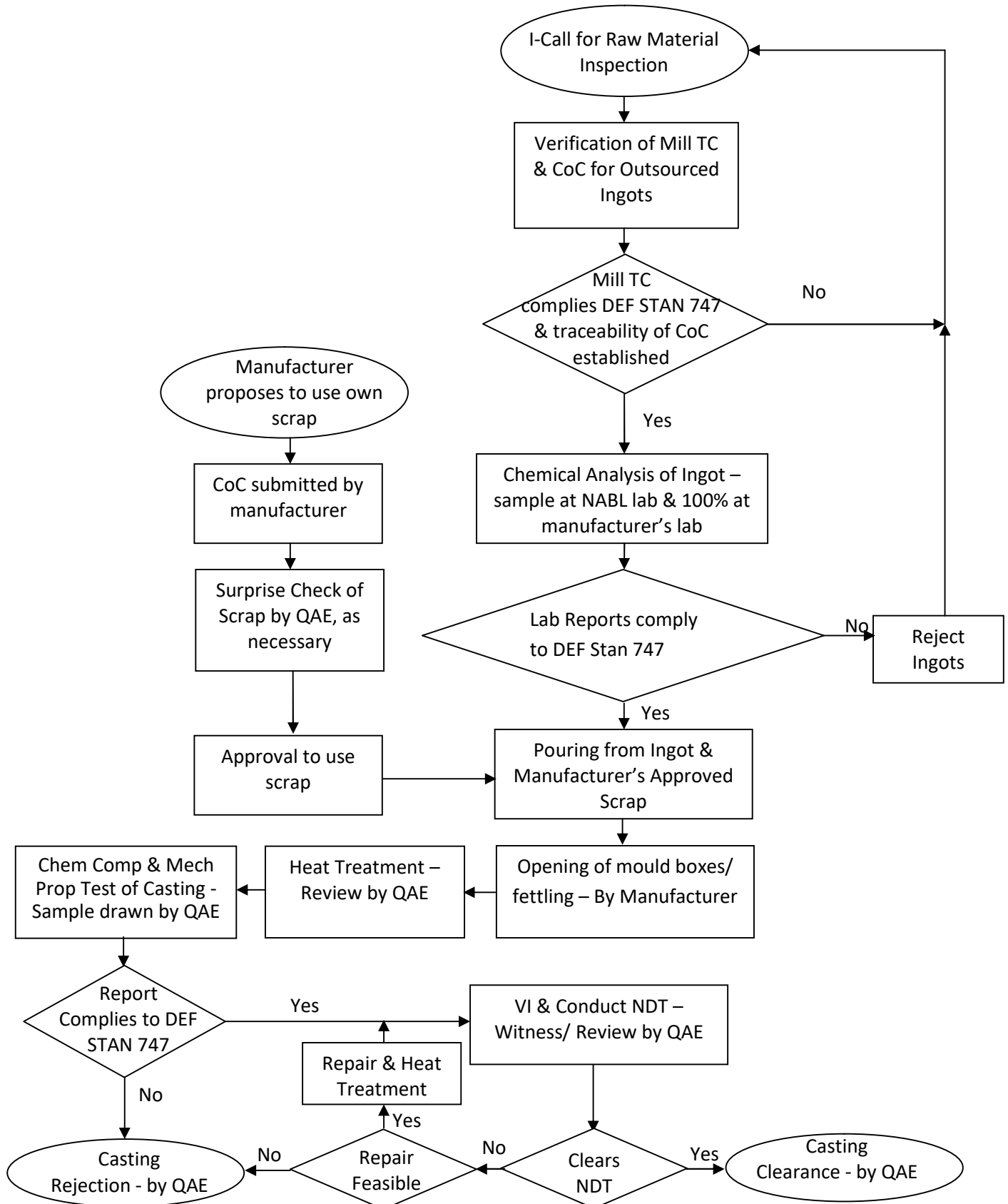
**Enclosure-I to DQA(WP) letter 12575/POLICY**  
**-2023/DQA(WP)/GP-I/01 dated 10 Jan 23**

**FLOW CHART FOR RAW MATERIAL INSPECTION OF NAB CASTINGS**  
**AS PER DEF STAN 747 - INGOTS CASTED BY MANUFACTURER**



**Enclosure-II to DQA(WP) letter 12575/POLICY**  
**-2023/DQA(WP)/GP-I/01 dated 10 Jan 23**

**FLOW CHART FOR RAW MATERIAL INSPECTION OF NAB CASTINGS**  
**AS PER DEF STAN 747 – INGOTS OUTSOURCED BY MANUFACTURER**



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Government of India  
Ministry of Defence (DGQA)  
Dte of Quality Assurance (WP)  
Defence Office Complex  
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Sarojini Nagar Post  
New Delhi - 110023

No.: 12575/Policy /DQA(WP)/TC

21 Feb 2023

All field units under DQA(WP)

### **REALLOCATION OF REGIONS TO FIELD ESTABLISHMENTS**

1. Refer to DQA(WP) Policy Letter No. 12575/Misc/RJ/DGQA/WP-TC dated 16 Feb 18 & QAD-R02 (Appendix 'L' Para 1003).
2. The jurisdiction of areas for providing QA coverage based on location of firms was promulgated vide this Directorate Policy letter No 12575/Misc/RJ/DGQA/WP-TC dated 16 Feb 18 and QAD-R02 (Appendix 'L' Para 1003).
3. Due to shifting of manufacturing plants of M/s L&T, Talegaon, M/s Alfa Laval Spares division to Pune region and various sub nomination at Solapur/ Kolhapur/Sangali, the workload of QAE(WE), Pune has increased substantially. Further, M/s Meson Valves is also planning to shift its plant from Goa to Pune, which will further increase the workload of the unit.
4. In order to balance workload vs manpower amongst the establishments areas of jurisdiction of CQAE(WE), Mumbai, QAE(WE), Bhopal & QAE(WE), Pune are revised and placed at Enclosure to this letter.
5. These changes shall be effective from 01 Mar 2023. QA cases being processed prior to promulgation of this letter shall continue to be governed as hitherto. However, cases of projects which have recently commenced and no major QA activities have been done can be considered for transfer on case to case basis. Standing Orders will be amended in due course.

-Sd-  
(RS Mishra)  
Captain  
Capt. QA (Tech)  
for ADGQA(WP)

Encl.: As above

Copy to:

The Chief of the Naval Staff  
(for Cmde WDB/Cmde SP/Cmde ME/ Cmde WE/ Cmde EE/ Cmde SR/ Cmde LS/ Cmde PROC/Cmde SMAQ/ Cmde Hydro/ Cmde NBCD/ Cmde SOD/Cmde NP/Cmde Ind)  
Integrated Headquarters  
Ministry of Defence  
New Delhi

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The Flag Officer Commanding-in-Chief  
(for CSO(Tech)/CSO(P&A))  
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Eastern Naval Command  
Visakhapatnam-530014

The Flag Officer Commanding-in-Chief  
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The Commanding-in-Chief  
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The Director General  
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Development Enclave  
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The Addl DGQA(N) - for Information and dissemination to all field units of DQA(N)  
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RK Puram  
New Delhi-110066

The Director  
DMD Establishments  
Secunderabad-500003

The Director General  
Coast Guard Headquarters  
National Stadium Complex  
Purana Quila Road  
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The Material Organisation  
Controllerate of Procurement  
Naval Store Depot  
Ghatkopar (West)  
Mumbai-400 086

The Material Organisation  
Controllerate of Procurement  
Eastern Naval Command  
Visakhapatnam – 530 008

The Material Organisation  
Controller of Procurement,  
Material Organisation  
Naval Base, Karwar-581308

The Material Organisation  
Controllerate of Procurement  
Material Organisation  
Naval Base, Kochi-682004

The Material Organisation  
Procurement Section  
NSD ANC  
Haddo Post,  
Port Blair-744101

M/s Mazagon Dock Ltd.  
Dockyard Road,  
Mazagon  
Mumbai -400 010

The Garden Reach Shipbuilders & Engineers Ltd  
Deck Machinery – Taratala Unit  
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Kolkata – 700 080

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M/s Goa Shipyard Ltd  
Vasco- Da-Gama,  
Goa-403802



**Encl to DQA(WP) Policy letter No.:**  
**12575/Policy /DQA(WP)/TC**  
**dated 21 Feb 2023**

**AREA OF JURISDICTION OF FIELD ESTABLISHMENTS**

<b>Ser</b>	<b>Field Establishment</b>	<b>Existing Area of Jurisdiction</b>	<b>Revised Area of Jurisdiction</b>
1.	CQAE (WE, WP), Mumbai	Maharashtra (except Pune) & Goa	Maharashtra (except areas covered by QAE(WE), Pune at Sl. 4 below & Nagpur), Nasik, Goa & Talegaon (for Induction orders)
2.	QAE (EFS), Mumbai	Maharashtra (except Pune) & Goa	No change from existing.
3.	CQAE(MS), Mumbai	Maharashtra (except Pune) & Goa in respect of machinery spares orders ex- DPRO / MOs	Maharashtra (except areas covered by QAE(WE), Pune at Sl. 4 below & Nagpur), Nasik, Goa & Talegaon in respect of machinery spares orders ex- DPRO / MOs
4.	QAE(WE), Pune	Pune region (Districts of Pune, Satara, Kolhapur, Nasik, Ahmednagar, Solapur, Aurangabad, Karad, Sangli, Walchandnagar, Raigad)	Pune region (except Talegaon & Nagpur) Districts of Pune, Satara, Kolhapur, Ahmednagar, Solapur, Karad, Sangli, Walchandnagar, Raigad, Aurangabad (Aurangabad for DPRO/MO orders only)
5.	QAE(WE), Vadodara	Gujrat, Dadra and Nagar Haveli, Daman and Diu	No change from existing
6.	CQAE (EFS), Visakhapatnam	Andhra Pradesh, Telangana	No change from existing
7.	QAE(WE, FPC), Bengaluru	Karnataka, Kerala, Lakshadweep	No change from existing
8.	QAE(WE, EFS) Chennai	Tamilnadu, Pudduchery	No change from existing
9.	QAE(WE/WP, EFS), Kolkata	West Bengal, Bihar, Jharkhand, Orissa, North Eastern States & A&N Islands.	No change from existing
10.	QAE(WE), New Delhi	Delhi (including NCR), Uttar Pradesh, Haryana, Rajasthan, Uttarakhand,	No change from existing
11.	QAE(WE), Bhopal	Madhya Pradesh, Chhatisgarh	Madhya Pradesh, Chhatisgarh and Nagpur district of Maharashtra
12	QAE(WE), Jalandhar	Punjab, Chandigarh, Himachal Pradesh, Jammu & Kashmir	No change from existing

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रक्षा मंत्रालय (गु.आ.म.नि.)  
Ministry of Defence (DGQA)  
गुणता आश्वासन निदेशालय  
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DQAN/Policy/SG-I/2022/09

23 Jun 22

All DQA(N) Establishments

**STANDARDISED FORMAT FOR REPORTING SURVEILLANCE AUDIT**  
**(GCS & SC AWARDED FIRM)**

1. Refer to the following policy directives promulgated by GOV MOD (copies available on [makeinindiadefence.gov.in](http://makeinindiadefence.gov.in) and [dgqadefence.gov.in](http://dgqadefence.gov.in)): -

- (a) MoD (DDP) Order No. 2015/ D(QA) dated 24 Mar 2017 regarding Green Channel Status (GCS).
- (b) MoD (DDP) Order No. 93244/14/SC/DGQA/Adm-19/D(QA)/19 dated 13 May 2019 regarding Self Certification(SC).
- (c) SOP for GCS promulgated by DGQA.

2. In order to streamline the process of conducting Surveillance Audit, a document enumerating the guidelines for undertaking the preparatory activities, internal checks, onsite visit reporting format and follow-up actions is placed at Enclosure for compliance by all DQA(N) units with immediate effect.

3. This has the approval of ADGQA (N).

-SD/-  
(Vinay Kumar Lekhi)  
Commodore  
DDGQA (N)  
For ADGQA(N)

Encl. Enclosure

## **INDEX**

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### **List of Abbreviations.**

1.	Gol	-	Government of India
2.	DDP	-	Department of Defence Production
3.	DGQA	-	Directorate General of Quality Assurance
4.	DQA(N)	-	Directorate of Quality Assurance (Naval)
5.	GCS	-	Green Channel Status
6.	SC	-	Self Certificate
7.	SA	-	Surveillance Audit
8.	PO	-	Purchase order
9.	CTQ	-	Critical to Quality
10.	QA	-	Quality Assurance
11.	QMS	-	Quality Management System

## **Chapter 1**

### **INTRODUCTION**

1. Government of India has launched numerous policy initiatives to facilitate 'Ease of Doing Business'; to promote the National Mission of 'Make in India with special focus on 'Defence Manufacturing'. The Self Certificate (SC) and Green Channel Status (GCS) policies have ushered in a major reform wherein the firms granted SC and GCS become eligible to manufacture and supply the specific stores without any QA clearance by a DGQA unit. The GCS policy is applicable only for firms with turnover of more than Rs. 500 Cr, whereas SC policy is applicable for any vendor with a consistent supplier rating above 90% over past three years.

2. **Policy Guidelines**. The GCS policy has been promulgated by Gol/MoD (DDP) vide order No. 43(5)/ 2015/ D(QA) dated 24 Mar 2017 (GCS) and the SC policy vide order No.93244/14/SC/DGQA/Adm-19/D(QA)/19 dated 13 May 2019 for Self Certification(SC).According to these policies the GCS is given to the firm for a period of five years and SC for a period of three years. SOP for Green Channel was promulgated vide DGQA letter 93244/14/Green Channel Policy/DGQA/Adm-19 dated 25 Oct 19 & 04 Nov 19. Subsequently DQA(N) has issued amplifying guidelines for OPAs & amplifying guidelines for QA units and GCS/ SC firms vide letter No. DQAN/SG-I/1005 dated 12 Oct 22 & 16 Nov 22 respectively.

3. **Surveillance Audit**. This document aims to provide a clear understanding of the procedures required to be followed towards ascertaining continuation/ ceasing of the certification based on surveillance audit. The above mentioned Gol orders/ SOP mandates the QA field units to perform periodic Surveillance/ Surprise Audit (SA) of the process and Quality System of the firm awarded GCS/ SC to confirm that QA activities are carried out as per the terms and conditions. The periodicity of SA may be more frequent during the initial stages of grant of GCS/ SC and may be tapered to lower periodicity based on findings/ observations of the preceding audits. Based on the recommendations of the SA team/ adverse feedback on the quality of product supplied, DGQA reserves the right to withdraw the GCS/ SC of the firm.

4. This document enables the Field unit/ Audit team in undertaking a prescribed course which is logical and standardised.

## **Chapter 2**

### **PREPARATORY ACTIVITIES**

1. **Terms of Reference.**

- (a) MoD (DDP) Order No. 43(5)/ 2015/ D(QA) dated 24 Mar 2017 regarding Green Channel Status (GCS).
- (b) MoD (DDP) Order No. 93244/14/SC/DGQA/Adm-19/D(QA)/19 dated 13 May 2019 regarding Self Certification(SC).
- (c) SOP for GCS promulgated by DGQA.
- (d) GCS/SC Certificate(s) No. ....
- (e) DQA(N) letter DQAN/SG-I/1005 dated 12 Oct 20 – Amplifying Guidelines for OPAs.
- (f) DQA(N) letter DQAN/SG-I/1005 dated 16 Nov 20 – Amplifying Guidelines for QA Units and SC/ GCS firms.

2. **Check- Off- List.** Following check-off lists are relevant for undertaking SA:-

- (a) Where POs have been issued during the period of Audit (Appendix A).

**OR**

- (b) Where POs have not been issued during the period of Audit (Appendix B).

3. **Previous Surveillance Audit Observations.** Details of observations raised during the previous SA and their present status as per following format:-

Sl. No	Previous Surveillance Audit Observations	Date raised	Action by	Action taken	Reasons (if pending)

### Chapter 3

#### INTERNAL CHECKS

1. Evaluate the following prior on-site visit:-

(a) **Purchase Orders**. Number of POs of Green Channel Status/ Self Certified product during the period under consideration, since last audit.

(i) Number of POs placed on the firm.

(ii) Number of POs completed by firm.

(iii) Number of POs In-progress at firm.

(iv) Were all these POs reported to the field unit within one month of issue of the PO? If No, reasons for not reporting.

(v) Intimation for readiness of stores for dispatch on Conformance Certificate (CC) alongwith Test Reports and Warranty Certificate was reported to the field unit.

(vi) **Delivery Rating > 90 %**

Y/N

(vii) Cross check above details and match with details submitted by firm as per Annexure 1A. Resolve discrepancies.

Y/N

(b) **Critical To Quality (CTQ)**.

(i) List of CTQs (As chosen during initial certification).

(ii) Chosen CTQs for Audit (Min. 25%) of the above. To be different from the last three Surveillance Audits (if conducted) towards ensuring that all CTQs are audited within 4 audits.

(iii)  **$C_{pk}$  for identified CTQs above. Confirm all  $C_{pk} > 1.33$**

Y/N

(c) **Stability**. **Control/ X-Bar and R chart** (for each CTQs selected) at 1 (b) above. Confirm all charts in range.

Y/N

2. In case of any 'No' at Para 1 above, same will need to be analysed and deliberated along with the firm during the visit to the firm and same reported to HQ DQA(N).

3. This data and its interferences will be used for making the Report(Chap 5 refers).

## Chapter 4

### ON-SITE VISIT

1. **Name Of Audit Team**

- (a) Nodal Officer of Unit
- (b) Authorised Functionary of Firm
- (c) Other Co-opted Members

2. **Administrative On-Site Checks.** Following to be checked at firm premises:-

(a) Confirm designated functionaries (Nodal Officer) of the firm along with his signature stamp and seal same as last reported.

Y/N

(b) Confirm continuation of all Quality System certification as approved at the time of assessment for award of GCS/SC.

Y/N

(c) Number of Non-Conformity (NC) raised by auditing agencies/ Quality Management System (QMS) audit/ ISO audit and details thereof and closure status of same. Different clauses of QMS such as leadership, planning, support, operation etc. be ascertained during audit. Satisfied.

Y/N

(d) Percentage in Quality Team Members changed. Beyond 25% unacceptable.

Y/N

(e) Review of documents w.r.t maintenance and calibration of M/c/ tools/ test equipment used in assembly and testing registered equipment. Satisfied.

Y/N

(f) Check adherence to No. of Control samples to be drawn, samples actually drawn and retention of the same batch wise traceability. Satisfied.

Y/N

(g) Are all quality checks, as per duly approved QAP being undertaken by internal QA team and all records maintained. Satisfied.

Y/N

(h) Check I- Note issued by firm as per extant policy. Satisfied.

Y/N



(j) Check performance audit of outsourced vendor by parent firm. Satisfied.

Y/N

(k) Has the manufacturer submitted Annual certificate as per the conditions of GCS/SC. Satisfied.

Y/N

3. **Technical Checks.**

(a) Confirm no change in QAP referred for GCS/SC.

Y/N

(b) Confirm no changes in process. Satisfied.

Y/N

(c) Any deviation in process (to be authenticated with Photographs) and separately decision on continuation. Satisfied.

Y/N

(d) Confirm no changes in part number of certification sub system/ spares listed in the certificate. Satisfied.

Y/N

(e) Confirm batch-wise traceability is maintained by firm from raw material to finished product state. Satisfied.

Y/N

## **Chapter 5**

### **REPORT**

1. The report format is placed at Appendix C.
2. This is the only document required to be sent to HQ DQAN(without enclosures).  
Report contains following details:

Para 1 – Names of Audit Team	-(Derived from Para 1 Chap 4)
Para 2 – Introduction	-(Contains basic data on firm GCS/SC Certificate and QAP details)
Para 3 – Background	-(Contains basic data on audit being conducted)
Para 4 – Purchase Orders	- (Refer Para 1(a) Chap.3)
Para 5 –Critical to Quality(CTQ)	- (Refer Para 1(b) Chap.3)
Para 6 – Stability	- (Refer Para 1(c) Chap.3)
Para 7 – Checks	- (Para 2&3 Chap.4)
Para 8 – Confirmation	- (Confirmation regarding corrective measure instituted by the firm)
Para 9 – Changes (Interpretation)	
Para10– User feedback	- If available
Para11– Observations	
Para12 – Recommendation	

3. **Recommendation for Continuation of certification or its Re-evaluation to be clearly indicated by the SA team.**

## **Chapter 6**

### **FOLLOW UP**

#### **1. Follow Up with Firm.**

(a) Letter/ Fax to firm regarding all observation made during the SA keeping HQ DQAN informed.

(b) Monitor the resolution of outstanding issues/observations raised during the previous Surveillance Audits.

**CHECK- OFF LIST FOR SURVEILLANCE AUDIT OF THE FIRM HAVING EXECUTED  
PURCHASE ORDERS DURING THE PERIOD OF AUDIT**

1. The following information/ data needs to be sought from the firm prior to undertaking Surveillance Audit:-

(a) Confirmation that governing conditions of GCS/SC mentioned overleaf of the GCS/ SC certificate is being complied with. Y/N

(b) Details of change if any in designated functionaries. Y/N

(c) PO Details of stores supplied under GCS/ SC as per following format:-

Sl. No.	PO No. & date	Delivery date as per PO	Store	Qty	Store delivery date or planned date if yet to be delivered	Confirm readiness to despatch stores intimated to CQAO/ QAO on conformance certificate alongwith relevant documents # (Para 6.4 of DDP letter dated 13 May 19 refers for SC). *(Para (iii) of Part IV Page 14 of DGQA SOP on GCS refers).	If 'N' then reason for violation of policy & corrective measure institute by firm.
						Y/N	

# Extract placed at Annexure 1  
 \* Extract placed at Annexure 2  
 } for ready reference.

(d) Chosen CTQs for this Audit (Min. 25%) are to be different from the last three Surveillance Audits (if conducted) towards ensuring that all CTQs are audited within 4 audits. Record of any 25% Process Data/ Process Capability index (Cpk) for corresponding Critical to Quality processes following format:-

- (i) Number of CTQs identified during initial certifying process.
- (ii) Number of CTQs covered in last 3 SA (If conducted).
- (iii) Number of CTQ (25%) identified from amongst the initial CTQs [Para 1(d) (i)] not covered in [Para 1(d) (ii)] above for this audit.
- (iv) Final list of CTQs decided:-

Sl. No.	CTQ proposed for this SA	Cpk calculated	Remarks

(ii)

(v) Control charts for CTQ at sub para (iv) above

(e) All Test Reports, Warranty certificates, Conformance certificates and Internal I-notes issued for products cleared under GCS/ SC during this period of audit are available with the inspection unit for POs mentioned at (Para 1(c) above).

Y/N
-----

(f) **Previous Surveillance Audit Observations.** Details of observations raised during the previous SA and their present status as per following format:-

Sl. No.	Previous Surveillance Audit Observations	Date raised	Action by	Action Taken	Reasons (If pending)

(iii)

**Appendix B to DQA(N) Policy letter No. : DQAN/Policy/SG-I/2022/09 dated 23 Jun 22**  
(Refers to Para 2(b) Chap. 2)

**CHECK- OFF LIST FOR SURVEILLANCE AUDIT OF THE FIRM NOT HAVING  
EXECUTED PURCHASE ORDERS DURING THE PERIOD OF AUDIT**

1. The following information/ data needs to be sought from the firm prior to undertaking Surveillance Audit:-

(a) Confirmation that governing conditions of GCS/SC mentioned overleaf of the GCS/ SC certificate is being complied with.

Y/N

(b) Details of change in designated functionaries.

Y/N

(c) Confirmation that no infrastructure modifications like upgrade/ downgrade of machineries/ testing facilities etc., at main vendor premise. If undertaken this list of such modifications to be enclosed in details.

Y/N

(d) Status of QMS remain same as was when the certification was awarded.

Y/N

(e) Chosen CTQs for this Audit (Min. 25%) are to be different from the last three Surveillance Audits (if conducted) towards ensuring that all CTQs are audited within 4 audits. Record of any 25% Process Data/ Process Capability index (Cpk) for corresponding Critical to Quality processes following format:-

(i) Number of CTQs identified during initial certifying process.

(ii) Number of CTQs covered in last 3 SA (If conducted).

(iii) Number of CTQ (25%) identified from amongst the initial CTQs [Para 1(d) (i)] not covered in [Para 1(d) (ii)] above for this audit.

(iv) Final list of CTQs decided:-

Sl No.	CTQ proposed for this SA	Cpk calculated	Remarks

(f) **Previous Surveillance Audit Observations.** Details of observations raised during the previous SA and their present status as per following format:-

Sl. No.	Previous Surveillance Audit Observations	Date raised	Action by	Action Taken	Reasons (If pending)

(iv)

**Annexure 1 to DQA(N) Policy letter No. : DQAN/Policy/SG-I/2022/09 dated 23 Jun 22**  
(Refers to Para 1(c) of Appendix A)

**CONFORMANCE CERTIFICATE**

1. Confirm readiness to dispatch of Self Certification stores intimated to CQAO/ QAO in the following format. (Extract of Para 6.4 of DDP letter dated 13 May 19 refers for SC):-

Name of the firm

**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

(d) Supply Order No & Date

(e) Governing specification/Drawing

(f) Lot/Batch No

(g) Date of Manufacture

(h) Quantity

(j) 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

Date:

Name, Designation & Signature of the  
authorized functionary of the firm

**CONFORMANCE CERTIFICATE**

1. Confirm readiness to dispatch of Green Channel Status stores intimated to CQAO/ QAO in the following format. (Para (iii) of Part IV Page 14 of DGQA SOP on GCS refers).

Name of the Firm

**CONFORMANCE CERTIFICATE**

The stores as per details given below have been inspected and it is confirmed that the same are released under the Green Channel Status Policy:-

- (a) Green Channel Status approval No and date
- (b) Nomenclature
- (c) Part No
- (d) Supply Order No & Date
- (e) Governing specification/Drawing
- (f) Lot/Batch No
- (g) Date of Manufacture
- (h) Quantity
- (j) 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 "Green Channel Status" mark.....and that the above mentioned stores have been manufactured as per the Quality System approved at the time of grant of Green Channel Status Certification and that they conform to the specification/requirements in all respects.

Seal Name, Designation & Signature of the

Date: authorised functionary of the Firm



**SURVEILLANCE AUDIT OF (Firm)**  
**(Running Serial Number)/ (Year)**

1. **Name of Audit Team.**

- (a) Nodal Officer of Unit
- (b) Authorised Functionary of Firm
- (c) Other Co-opted Members

2. **Introduction.**

(a) In pursuance to the Terms of References mentioned at para 1 chapter 2 of “Surveillance Audit for GCS & SC Awarded firms” documents issued by HQ DQAN, the periodic surveillance audit of M/s..... which have been granted GCS/SC certification\*\*\* for their systems, has been undertaken by this Unit and a report on the same is being forwarded to DQA(N).

(b) QAP No.....dt.....(as indicated in GCS/ SC Certificate) Approved QAP in force during conduct of present audit No.....dt.....

3. **Background.**

(a) M/s.....has been granted GCS/SC certification for (system/ equipment name) on.....valid till.....

(b) Periodic Audits of the Process, Quality system of the firm in form of Surveillance Audit have been specified in the policy guidelines. In accordance with these guidelines the audit was undertaken by the nominated Audit team from (date).....to.....

Ser.	Audit Details	Date
i.	1 <sup>st</sup> Surveillance audit /(to be conducted within 3 month)	
ii.	2 <sup>nd</sup> (to be conducted within 6 month)	
iii.	3 <sup>rd</sup> (to be conducted within 9 month)	
iv.	4 <sup>th</sup> (to be conducted within 12 month)	
v.	5 <sup>th</sup> (to be conducted within 15 month)	
vi.	6 <sup>th</sup> (to be conducted within 18 month)	
(a) In the first year post award of SC a minimum of 4 Surveillance Audits to be undertaken. (b) In case of GCS awarded firms a minimum of 02 audits in a year at 6 monthly intervals are to be undertaken. (c) No. of audits can be increased by respective HOE based on Customer Feedback and Outcome of Audit results		

(vii)

4. **Purchase Orders.** Number of POs of GCS/ SC product during the period under consideration, since last audit.

- (i) Number of POs placed on the firm.
- (ii) Number of POs completed by firm.
- (iii) Number of POs In-progress at firm.
- (iv) Were all these POs reported to the field unit within one month of issue of the PO? If No, reasons for not reporting.
- (v) Intimation for readiness of stores for dispatch on Conformance Certificate (CC) along with Test Reports and Warranty Certificate was reported to the field unit. Y/N
- (vi) **Delivery Rating > 90 %** Y/N

5. **Critical TO Quality (CTQ).**

- (a) List of CTQs (As chosen during initial certification).
- (b) Chosen CTQs for Audit (Min. 25%) of the above. To be different from the last three Surveillance Audits (if conducted) towards ensuring that all CTQs are audited within 4 audits.
- (c)  **$C_{pk}$  for identified CTQs above. Confirm all  $C_{pk} > 1.33$**  Y/N

6. **Stability.** **Control/ X-Bar and R chart** (for each CTQs selected) at 1 (b) above. Confirm all charts in range. Y/N

7. **ON-SITE VISIT.**

(a) **Administrative On-Site Checks.** Following to be checked at firm premises:-

- (i) Confirm designated functionaries (Nodal Officer) of the firm along with his signature stamp and seal. Same as last reported. Y/N

(viii)

(ii) Confirm continuation of all Quality System certification as approved at the time of assessment for award of GCS/SC.

Y/N

(iii) Number of Non-Conformity (NC) raised by auditing agencies/ Quality Management System (QMS) audit/ ISO audit and details thereof and closure status of same. Different clauses of QMS such as leadership, planning, support, operation etc. be ascertained during audit.

Y/N

(iv) Percentage in Quality Team Members changed. Beyond 25% unacceptable.

Y/N

(v) Review of documents w.r.t maintenance and calibration of M/c/ tools/ test equipment used in assembly and testing registered equipment.

Y/N

(vi) Check adherence to No. of Control samples to be drawn, samples actually drawn and retention of the same batch wise traceability.

Y/N

(vii) Are all quality checks, as per duly approved QAP being undertaken by internal QA team and all records maintained.

Y/N

(viii) Check I- Note issued by firm as per extant policy.

Y/N

(ix) Check performance audit of outsourced vendor by parent firm.

Y/N

(x) Has the manufacturer submitted Annual certificate as per the conditions of GCS/SC.

Y/N

(b) **Technical Checks.**

(i) Confirm no changes in process.

Y/N

(ii) Any deviation in process and separately decision on continuation.

Y/N

(ix)

(iii) Confirm no changes in part number of certification sub system/ spares listed in the certificate.

Y/N

(iv) Confirm batch-wise traceability is maintained by firm from raw material to finished product state

Y/N

8. For any “N” for Serial 4 to Serial 7, then have corrective measures been instituted by the firm.

Y/N

9. **Changes (If any)**. Report any changes to the following i.r.o. registration:

- (a) Major machinery/ equipment or technology.
- (b) Number of personal in the QMS team beyond 25%.
- (c) Technical upgradation, alteration in design, drawings and specification.
- (d) Manufacturing procedures, indigenisation and obsolescence.

10. **User Feedback**. Details of adverse inputs/ recommendations on the item.

Sl. No.	Details of adverse input # / Recommendation raised	From which OPA	From which unit	Unit Letter No. & Date	Cause of defect identified	Rectifications carried out by DPSU/ PVt Vendor	Corrective/ preventive Action taken by firm

# Reply of firm rep to be included.

11. **Observation of Audit Team:-**

(a)

(b)

(c)

(x)

12. **Recommendation.**      **Recommended to Continue Certification/ re-evaluate continuation of certification.**

(Signature)  
Authorised functionary of firm

(Signature)  
Co-opted Members

(Signature)  
Nodal Officer of Unit

**COUNTERSIGNED**

(CQAO/QAO)

**Approved at HQ**