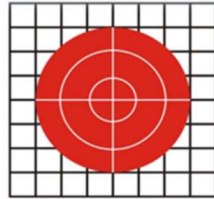


# OFB SUPPLIER'S QUALITY MANUAL



**OFB**

**OFBSQM - 01**

**ISSUE- 01**  
**As on 22<sup>nd</sup>**  
**March'2019**

**ORDNANCE FACTORY BOARD**

## PREFACE

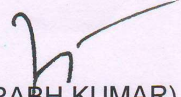
Indian Ordnance Factories is the oldest and largest industrial setup which functions under the Department of Defence Production of the Ministry of Defence and forms an integrated base for indigenous production of ordnance and equipment, with the primary objective of self-reliance in equipping the Armed Forces with state of the art Battlefield Equipment.

The quality of Defence Equipment for our Armed Forces have a direct impact on National Defence. Indian Ordnance Factories have the responsibility of ensuring timely supply of Defence stores to Armed Forces and other customers. The significance of availability of right material at right time & at right price, therefore, can not be undermined. To achieve this goal, we count on the efforts and contribution of all our stakeholders and our suppliers to play a pivotal role. Considering the production requirement of Ordnance Factories, it is always desirable to have separate exclusive **“OFB Supplier’s Quality Manual”** for Defence Stores procurement cases. Quality of our products and services depends on a reliable, global network of skilled suppliers that provide the materials, parts and services to make our products and deliver them to our customer mission-ready and on time. Moreover, **“OFB Supplier’s Quality Manual”** is Primarily a manual which deals with proper maintaining of quality in Defence Stores.

We expect nothing else from all our suppliers than the same level of commitment to achieve the performance and quality levels we strive for.

Date 22 March 2019

Place: Kolkata

  
(SAURABH KUMAR)  
DGOF & Chairman  
Ordnance Factory Board

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# Quality Requirements for Suppliers

Doc No. OFBSQM-01  
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## 1. Foreword

The Indian Ordnance Factories organization - a family of 41 Ordnance Factories under the aegis of its corporate headquarters **Ordnance Factory Board (OFB), Kolkata** - possesses the unique distinction of over 200 years' experience in defence production. We are engaged in production, testing, logistics, research, development and marketing of a comprehensive product range in the area of land, sea and air systems. The ordnance factories form an integrated base for indigenous production of defence hardware and equipment, with the primary objective of self-reliance in equipping the armed forces with state of the art battlefield equipment's.

OFB places the highest emphasis on the performance, quality, reliability and integrity of its products. To achieve this goal, we count on the efforts and contribution of all our stakeholders and our suppliers to play a pivotal role. Quality of our products and services depends on a reliable, global network of skilled suppliers that provide the materials, parts and services to make our products and deliver them to our customer mission-ready and on time. Goods and services provided by our suppliers have a key impact on the quality of the products, solutions and services we offer to our customers. To maintain a high level of quality, we are determined to establish and maintain close and long-lasting relationships with our suppliers.

We expect nothing else from all our suppliers than the same level of commitment to achieve the performance and quality levels we strive for.

## 2. Scope

The aim of this document is to formally communicate the Ordnance Factories (OFB) quality requirements to all the stake holders. This document includes hyperlinks and is best read in its electronic form.

This manual applies to all suppliers of Ordnance factories dealing with materials, products, processing, and related services, and when applicable, to Supplier sub-tier sources. The general requirements outlined herein do not supersede conflicting requirements in the OFB contract, or drawing, including applicable engineering specifications and process specifications, or applicable long term agreement(s).

### Definitions and Terms

In this document, the terms "**shall**" and "**must**" mean that the described action is mandatory; "**should**" means that the described action is expected with some flexibility allowed in the method of compliance; and "**may**" means that the described action is permissible or discretionary.

The term "supplier" means vendor, supplier of goods and services, sub-contractor. Questions concerning this manual **should** be directed to respective Ordnance Factory.

## Order of Precedence

Any inconsistencies in this document **shall** be resolved in accordance with the following descending order of precedence: (1) the drawing, design data and any approved concession deviation (2) the Purchase Order, release document, as applicable, including any special terms and conditions; (3) any Statement of Work; (4) OFB QUALITY POLICY.

As the India's leading provider of Defence solutions, Ordnance Factories (OFs) maintains the highest standards for ethical business practices and performance in every aspect of its business conduct.

## 3. Supplier's Registration (Empanelment) Pre-requisites

### 3.1 Supplier Registration Desirable Requirements

The desirable quality requirement for suppliers of goods and services to OFs **shall** be Quality Management System (QMS) certification to ISO9001 by a NABCB accredited certification body or equivalent international body. This requirement guarantees the supplier has put in place a consistent QMS able to satisfy our basic needs.

The essential requirements and the complete process of suppliers' registration in OFs is given in detail in SOP for Vendor Registration. Emphasis been given to self-declaration information for registration purpose.

#### 3.1.1 Exceptions

Requirement at 3.1 above may become mandatory and maybe authorized on the basis of:

- The requirement is mandated by our customer.
- The supplier is the manufacturer of a single sourced product mandated by our customer.
- The supplier is the only distributor of a product mandated by our customer.

#### 3.1.2 Supporting Documentation

Documents as mandated by OFB's SOP for vendor registration, to be uploaded on the portal.

#### 3.1.3 Special Measures

Where the above criteria and exceptions cannot be met, depending on the product, its application, value and criticality, special authorization may be granted by whom, where evidence of compliance can be provided.

### 3.2 Special Processes

Suppliers and supplier sub-contractors providing special processes **shall** have a documented process control schedule (for example: Process Flow Chart, Process

Failure Mode Effects Analysis (PFMEA), Job card traveler - or similar, Process Control Plan, Inspection Plan & QAP) suitable of meeting all requirements prior to the commencement of production. This will include identifying key characteristics in all preparatory treatments, post treatments, processing, significant surfaces, tests and all other processes and treatments. In some instances, depending on the criticality of product the process control plan/schedule **shall** be subject to OFs approval.

Suppliers and supplier sub-contractors providing special processes **maybe** accredited for the special process they provide through relevant Accreditation agency.

### 3.3 Site Visits and Supplier Audits

Where appropriate, suppliers **shall** be subject to on-site audit and / or site visit by the OFs supplier quality engineer and / or supply chain representative. Scheduled verification audits, site visits and business to business meetings **shall** be supported when required.

### 3.4 Scope of Registration

Suppliers registration for use will be allocated to the concerned OFs Supplier database stating the scope detail on their registration. Suppliers shall not conduct work for OFs outside their scope of registration unless authorized by OFs Quality department through audit i.e. special process audits or OFs specific approvals. Certificate of registration will include details of Ordnance Factory specific items & broad technology for which firm is registered.

### 3.5 Registration updates – Supplier Responsibilities

**It is a requirement of the conditions of supply into OFs that the contractor / supplier fully understands and adheres to the following. It is the supplier's responsibility to ensure:**

- OFs **shall** be provided up-to-date copies of Quality Management System certification including scope of certification.
- OFs **shall** be informed by the approved supplier when approval bodies are changed and certificates are re-issued or revoked.
- OFs **shall** be informed by the approved supplier when certificates scopes are amended which would affect work currently undertaken or scheduled for future delivery. This would also include any change of address or change in plant & machinery.

### 3.6 Right of Access

Suppliers and their sub-suppliers **shall** provide to OFs, their customer, regulatory authorities and the Government Quality Assurance Representative (GQAR) :

- The right of access to facilities where parts of the contracted

- activities are being performed including sub-supplier's premises
- Information pertaining to the fulfillment of requirements in the contract
- Unrestricted opportunity to evaluate supplier compliance with this document
- Unrestricted opportunity to conduct verification of product conformity to contract requirements
- Assistance for evaluation, verification, validation, testing, inspection or release of the product to verify that contract requirements have been accomplished at the supplier's or sub-supplier's premises
- Working area and facilities
- The necessary equipment available for reasonable use for performing verification
- Supplier and/or sub-supplier's personnel for operation of verification equipment as required
- Access to information and communication facilities
- The necessary supplier documentation, to confirm product conformance to specification
- Copies of necessary documents, including those on electronic media
- Confirmation of capacity constraints

#### 4. Quality Management Requirements

OFs are required by IS9001, to apply appropriate controls to their direct and sub tier external providers to ensure that requirements are met The sections shall detail out the minimum controls that the supplier **shall** implement to meet those requirements.

Suppliers **shall** plan, implement, and control the processes needed to meet the requirements for the provision of products and services to OFs. Specifically, this will be focused on the following:

- Review of the Requirements for Products and Services
- Design and Development provision (inputs, controls and outputs)
- Configuration Management
- Process Control
- Control of Externally provided Processes, Products and Services (importantly):
- Control of Equipment's, Tools and Software



- Validation of Special Process
- Production Process Verification
- Release of Product and Services
- Control of Non Conformance
- Performance Evaluation
- Improvement Activities

## 4.1 Review of the Requirements for Products and Services

The supplier **shall** ensure that they have the ability to meet OF's requirements for products and services – formally known as contract review. This review will cover but not be limited to:

- Scope of certified approval against what product or service is being requested
- Technical ability i.e. whether the equipment or employee skills are good to meet the requirements
- Capacity constraints
- Statutory and regulatory requirements
- Contract or order requirements differing from those agreed at tender
- Drawing pack i.e. tolerancing, datum's and geometric tolerancing, material requirements (ensuring the material is available in size and condition stated), special processes, specific drawing notes including adherence to standards quoted within the context, destructive and non-destructive testing requirements ie mechanical, electrical, software etc.
- Design and verification – if under taking this requirement for OFs understand the conditions of the contract as highlighted in para 4.2
- Reference documentation - it is the responsibility of suppliers to obtain, review, work to and maintain current issues of specifications and standards from appropriate sources.
- Additional Resources – when reviewing the process controls required to assure compliance to the documentation pack, should the requirement for fixturing, hard gauging, specialist test equipment, specialized training etc be identified this **must** be communicated to OFs. It is not acceptable if risk is identified and no action is undertaken or communicated to OFs due to timescales or financial constraints. This will also apply to sub-

- contractors undertaking work on the product.
- Supplier selection of sub-contractors. OFs must be informed if sections of work are to be subcontracted. OFs reserve the right to audit that supplier if it is deemed a perceived risk to contractual requirements (see 4.5). Special Processes are covered in section 3.2

## 4.2 Design and Development Provision

If undertaking design and development work for OFs the sub-contractor is bound by the requirements of ISO 9001 as a minimum. If identified by OFs the additional requirements of contracts will be required e.g. provision for obsolescence.

## 4.3 Configuration Management

The supplier **shall** plan, implement and control a process for configuration management to ensure the identification and implementation of changes when required by OFs in the supply of products and services. If a change is requested by OFs and can be accommodated this **must** be detailed in a change to OF's original purchase order and detailed on all supplier process documentation.

## 4.4 Process Control and Verification

OFs require the supplier to demonstrate control through the production process. The supplier **shall** demonstrate confidence that the processes have been carried out as planned and therefore be able to demonstrate the conformity of those products and services. This can be undertaken by the flow of information associated in the following documentation.

The following is an example of how the supplier can incorporate these activities that will show the flow of information needed to control the process (similar processes and documentation that meet the requirement are acceptable):

- Value Stream Mapping
- Process Flow Diagrams (identifying key characteristics, inspection stages, processes, frozen operations if identified by OFs (no changes allowed unless agreed by OFs delegate), associated documentation. Examples of layouts can be requested.
- PFMEA – Process Failure Mode Effect Analysis. Critical in analysis of the process flow showing anticipation of risks and actions to nullify those risks to the process
- Control plans – detailing the stages of the process where inspection and our documenting of special process monitors are required
- Inspections plans – identifying by whom (level of trained operators), with what (equipment's to be used), how (standard

- operation) and the frequency of how those checks/inspection will be carried out.

Further to this, the supplier **shall** demonstrate the eradication of variability in the process (**if required by OFs on critical processes**) by the use of process capability measurement, statistical process control and Measurement System Analysis (MSA) studies i.e. Gauge R&R. When specified by OFs these activities should be covered in a Quality Plan agreed with both parties and the requirements flowed down the supply chain if needed. **A Quality Plan will be required when specific controls not covered by ISO 9001 are required by OFs.**

#### 4.5 Control of Externally Provided Processes, Products and Services

The supplier, as the recipient of the contract, **shall** be responsible for meeting all requirements, including work performed by the supplier's sub-tier suppliers (also known as sub-suppliers or subcontract suppliers).

Where the supplier intends to sub-contract work or service normally undertaken by the supplier, **a written agreement shall be in place between OFs and the**

**supplier** indicating the reason for the sub-contract and the sub-tier sub-contractor to be used.

When the supplier uses sub-tier sources to perform work on products and/or services for OFs, the supplier **shall** flow down to its sub-tier sources, all of the applicable technical and quality requirements contained in the OFs contract. This will:

- ensure that externally provided processes remain within the control of their own quality management system
- define both the controls that it intends to apply to an external supplier and those it intends to apply to the delivered product.

OFs representatives, customers and/or end users **shall** be allowed access to the sub-supplier's plant and facilities for the purpose of surveillance and inspection.

#### 4.6 Control of Equipment, Tools and Software

Equipment, tools and software programs used to automate, control, monitor or measure production processes shall be validated prior to release for production and shall be maintained. The supplier shall be responsible for maintaining traceability to national standards whether those items are calibrated internally or externally.

Storage requirements shall be defined for production equipment or tooling in storage including any necessary periodic preservation or condition checks. Items that have an extended replacement period (i.e. mould tools, die sets, software programs) are required be detailed in a risk avoidance document that will detail the supplier's disaster recovery plan in such an event – see section 12.

## 4.7 Validation of Special Processes

A special process is a process that generates outputs that cannot be measured, monitored, or verified non-destructively or cost effectively. Deficiencies cannot be detected until after products are in use.

In order to prevent output deficiencies, special processes must be periodically validated in order to prove that they can generate planned results. Periodic validation is usually performed which will define:

- the criteria for the review and approval of the process
- the maintenance of the approval
- approval of the facilities and equipment
- qualification of persons – see para7
- specific methods and procedures for implementation and monitoring the processes
- detail the documentation to be retained

## 4.8 Production Process Verification

When indicated on the purchase order the supplier **shall** produce a First Article Inspection report (FAIR) to verify the manufacturing process using a representative item from the first manufacturing run of a new part or assembly. The purpose of the FAIR is to verify that the production processes, production documentation and tooling are capable of producing parts and assemblies that meet requirements. This process **shall** be repeated when changes occur that invalidate the original results (this will include transfer of work to another site, drawing changes, process changes etc.). The First Article Inspection requirement, once invoked, **shall** continue to apply even after initial acceptance.

The FAIR will be produced in accordance with supply order condition and **shall** be provided with the delivery of goods. It is strongly advised that its requirements understood. Its content details when a Partial FAI is required but as an aid:

### **A Partial FAI is required to the original when:**

- A change in design potentially affects form, fit or function.
- A change in manufacturing source, process, inspection method, location of manufacturer, tooling, or material potentially affect form, fit or function

The FAIRs **shall** include all certification indicating conformity of materials, special processes, calibration, testing and personnel training qualification where applicable.

## 4.9 Release of Product and Services

Suppliers **shall** supply conforming goods and services on time in full (OTIF) including all required correct documentation and certification where applicable.

Certification refers to any document that states the goods or services meet or conform to specification or purchase order requirements. These include, but are not limited to; Certificate of Conformity (C of C), Certificate of Compliance, Certificate of Analysis, Certificate of Attestation and Certificate of Calibration.

The certifying document **shall** be deemed as an authorized contractual guarantee that the goods and services reference on the certificate meet drawing, specifications, technical data and purchase order requirements. **A signed copy or digital signature will be acceptable** but Certificates must be traceable to the certifying quality representative or company official as per ISO9001 requirements.

### 4.9.1 Supplier Documentation

The following data/information **shall** be included on each certification document (normally referred to as a C of C or Release Note)

- Certificate or delivery unique identifier / Certification / Delivery Note number
- Certificate Date
- Purchase order number
- Drawing number and / or part number and revision (as stated on Purchase Order)
- Batch unique identifier (Batch number / Lot number / Date code / Serial number)
- Quantity
- Supplier Name and Address
- Statement that goods and / or services conform to the specified requirements
- Original Manufacturer's name, part number and lot / date code (when applicable)
- Reference to **all concessions/Production permits** applicable
- Reference to current First Article Inspection Report where applicable
- Reference to the Quality Management System release.

Suppliers **shall** ensure the correct documentation is supplied with products and services. Additional Delivery Quality Conditions required will be stated on OFs purchase order. These will define the requirements for traceability and certification.

## 4.9.2 Certificate of Conformance

A certificate of conformity **shall** be supplied with delivered goods or services that meet the above traceability requirements. Please read section 13 which further expands the requirements for Chemicals and Hazardous Substances.

## 4.9.3 Calibration and Test Certification

In addition, where calibration and test certification are issued to OFs information **shall** include:

- The calibrated test apparatus / instrument / equipment/ standard used. These will be traceable to Indian national standards.
- Calibration / test specification used including tolerances and criteria.
- Items outside specified limits will be identified, especially if the item has undergone authorized repair to bring it into specification.

## 4.9.4 Late Deliveries / Short Deliveries

If non-delivery, short or late deliveries are anticipated, suppliers shall immediately notify the buyer indicated on the purchase order.

## 4.9.5 Completeness of Supplied Documentation

Certification documentation supplied to the requirements of any OFs purchase order will be rejected and deemed not complete should it transgress any the following:

- Certification supplied with C of C is illegible i.e. faint, blurred or ambiguous
- Certification supplied with concession/production permit whose approval is outstanding
- Incorrect / different material or treatment certificates being referenced or certificates that do not tie up with FAI documentation
- No quality representative authorizing release is identified on the C of C.
- Alternative material and or treatments – will be rejected if authorized certification is not attached to the C of C i.e. production permit or concession, Defence Standard reference, Mil Specs alternative and the prior agreement of concerned Ordnance Factory.

## 4.10 Control of Non Conformance

OFs will inform the supplier of nonconformities that are highlighted at any stage of OF's process flow including, but not limited to, trials and subsequent service. The supplier **shall** respond to the Supplier Corrective Action Report (**SCAR**) when raised. The SCAR is structured around the 8D process which details the requirement for the following:

- Problem statement
- Containment Action (in production, in stores, in transit, delivered product)
- Root Cause Analysis (see below)
- Corrective Action
- Implement Corrective Action
- Define and Plan Preventative action to **prevent reoccurrence**
- Review of Implementation or actions
- Closure and team celebration

SCAR's **shall** be processed to the following time scales by the supplier:

- Supplier has **5 working days** to acknowledge receipt and undertake containment action
- Supplier then has a further **25 calendar days** to respond with a detailed corrective action
- Supplier will submit on or before the agreed verification date, **evidence of the implemented corrective/preventative action**. This evidence will allow the OFS Supplier Quality Engineer to close the SCAR.

**Note:** A SCAR is a non-conformance which is identified on field trials / in service and must be treated with **high priority**. This will be identified on the SCAR and is subject to the agreed terms and conditions as agreed with OFS in all instances.

### 4.10.1 Root Cause Analysis (RCA)

When nonconformities occur the supplier **must** perform Root Cause Analysis (RCA) and corrective action activities to prevent recurrence of the problem. OFs recommend that the suppliers Improvement teams use industry standard root cause analysis tools to aid in identifying these issues i.e. Why methodology & Cause and Effect Diagram (Ishikawa or fishbone).

## 4.11 Application for Concession or Production / Deviation Permit

Suppliers **shall** generate the Concession or Deviation Permit in accordance

with provision mentioned in OFB SOP for Input Material Inspection. This must include the proposed corrective action to eliminate the cause and prevent reoccurrence.

#### 4.11.1 Production Permit

Production Permits / Deviations are considered permission to produce an item that deviates from design data. This **maybe** because of design anomalies, material availability issues or other unforeseen reasons prior to manufacture. Requirement for a production / deviation permit **should** be identified by the supplier at contract review or production planning.

Completed production / deviation permits **shall** be submitted to the procurement representative indicated on the purchase order. **All Production permits must be referenced on the applicable certificate of conformity** (using the OFs approved concession number).

Any production prior to production / deviation permit approval **shall** not occur unless entirely at the suppliers own risk. Products delivered against a OFs approved production / deviation permit are not considered as nonconforming.

#### 4.11.2 Concessions

It is the policy of OFs not to accept a product that fails to meet the required standard. In certain circumstances however, concessions will be considered by OFs. This will allow, when approved, the supplier to deliver product against agreed deviations for a set number of product or parts.

Completed concession forms **shall** be submitted to the procurement representative indicated on the purchase order.

Delivery of nonconforming product **shall** not occur unless an approved concession is in place. **All concessions must be referenced on the applicable certificate of conformity** (using the OFs approved concession number).

## 5. Record Retention / Destruction Requirement

Suppliers **shall** retain records relating to processing, testing, calibration, manufacture, supply, traceability and certification for a minimum of **7 years** unless otherwise stated by contract.

Any loss or potential compromise of any classified material must be reported to OFS without delay.

**All OFFICIAL-SENSITIVE** documents must be returned to OFs either:

- When they are no-longer required as part of the sub-contract; or
- At the end of the sub-contract.



At a minimum, all **OFFICIAL-SENSITIVE** hard copy information must be destroyed in a manner which makes the reconstitution of the material highly unlikely. Unwanted OFB/Govt. Of India information/material that cannot be destroyed in such a way shall be returned to the Authority.

## 6. Competence, Training and Awareness

The supplier **shall** ensure personnel processing orders or performing work affecting conformity to product or service are trained and aware of the relevance and importance of their activities in relation to meeting the requirements of OFs purchase orders and associated documentation.

The supplier will as a minimum produce a skills matrix which details the training undertaken by the operative in relation to the processes specific to OFs product.

The skills matrix **shall** be maintained by supervisory/management level and demonstrate control of those activities. The skills matrix procedure **shall** also detail how risks associated with highly skilled operators are covered i.e. sickness, leave, succession planning etc. and the business decision on how that risk will be covered as well as capacity constraints.

## 7. Identification and Traceability

Traceability is an important factor in high end and safety critical products and is a basic requirement unless agreed in writing. Suppliers **shall** provide documentation that includes revision / issue nos., batch numbers, lot codes or where relevant date codes and serial numbers of goods provided.

### 7.1 Serialization and Part Marking

Serialization and part marking identification **shall** be in accordance with the purchase order, design data, drawing or any contractually agreed specification or standard.

### 7.2 Traceability to Source/Origin of Raw Material

Wherever any applicable Quality Plan requires demonstration of traceability and design provenance through the supply chain, the supplier **shall** include in any relevant sub-contract the requirement for certification from its sub-tier-suppliers. The supplier **shall** ensure that full traceability is maintained throughout the sub-tier supply chain and can be provided on OFs request. Material **shall** be identified and traceable to manufacturer's part number, lot number, date code for all electronic and electrical parts, raw material, mechanical machined parts, moulded plastic & Rubber components and Sub-assembly.

## 8. Preservation of Product

The supplier **shall** preserve the product during internal processing, storage and delivery to the intended destination.

## 8.1 Workmanship Acceptance Criteria for Surface Engineering

Unless otherwise stated, the following workmanship acceptance criteria **shall** be used; Supplied product with surface finishes for functional or cosmetic applications **shall** meet the requirements of the drawing (or referenced specification) for surface conditions, uniform in appearance, free from blisters (adhesion), pits, nodules, scratches, stains. This includes but is not limited to electroplated, conversion coated, anodized, painted, mechanically finished and passivated surfaces.

## 8.2 Deviation from Design Data

Deviation from design data **shall** not occur unless an approved deviation permit from OFs is obtained. See section 4.11.

## 8.3 Shelf Life

Goods and products containing items with finite shelf life **shall** have the expiry date identified on the product and the delivery documentation. The remaining shelf life **must** be a minimum of 90% of the total shelf life for the material at time of delivery unless otherwise specified.

## 8.4 Packaging

The supplier **shall** adequately plan for packaging designed to prevent product contamination, deterioration, damage or loss. Suppliers **should** provide expendable packaging or returnable containers, where appropriate, of sufficient density and protection from likely damage that could occur. The use of approved industry standard labelling and bar-coding **shall** be in accordance with any contractually agreed packaging specification.

## 9. Counterfeit Product Prevention

### 9.1 Counterfeit Product Prevention

Where appropriate, the supplier **shall** establish and maintain a counterfeit parts / material prevention and control plan to ensure that counterfeit work is not delivered. The purpose of the supplier's plan **shall** be to develop a robust process to prevent the delivery of counterfeit commodities and to control commodities identified as counterfeit.

## 10. Obsolescence Management

Obsolescence Management is 'the coordinated activities to direct and control an organization with regard to obsolescence'. The suppliers **shall** notify OFs of any pending obsolescence, the relevant last time buy date and last time ship date at least 6 months prior to the last time buy date.

## 11. Business Continuity / Disaster Management

Suppliers need to have in place a business continuity plan in accordance with ISO 22301(Societal Security- Business Continuity management systems). This includes requirements to plan, establish, implement, operate, monitor, review, maintain and continually improve a documented management system to protect against, reduce the likelihood of occurrence, prepare for, respond to, and recover from disruptive incidents when they arise.

Essentially this is a management plan that ensures no disruption to the supply of goods to OFS should the business fall foul of environmental circumstances such as fire, flood, power failure etc. This will include but not be limited to safety stocks of goods, fire protection of tooling/Jigs, safeguarding essential key machinery, off site holding of key software etc.

The extent of application of these requirements depends on the supplier's operating environment and complexity.

## 12. Chemicals and Hazardous Substances

Nothing in this section *shall* reduce or limit any statutory duty or legal obligation of OFSUK or the supplier.

### 12.1 Safety Data Sheets

Safety data sheets (SDS) provide information on chemical products that help users of those chemicals to make a risk assessment. They describe the hazards the chemical presents, and give information on handling, storage and emergency measures in case of accident. By law suppliers of chemicals **must** provide an up to date safety data sheet if a substance is classified as dangerous in accordance with the relevant regulation.

If the supplier is required, under, or in connection with the contract, to supply articles or components of articles that, in the course of their use, maintenance, disposal, or in the event of an accident, **may** release hazardous materials or substances, they **shall** provide to OFs a list of those hazardous materials or substances, and for each hazardous material or substance listed, provide an SDS.

### 12.2 Lead, Asbestos and Radioactive Substances

Special regulations apply to Lead, Asbestos and radioactive substances. Adequate packaging **must** be provided to prevent exposure of staff to these substances in accordance with the relevant provision.

## 13. Sensitive and OFs Proprietary Data

OFs proprietary and customer technical data **must** only be shared with 3<sup>rd</sup> party suppliers who have:

- Been approved by OFs and the owner of the technical data.
- Confirmed in writing (e.g., hardcopy letter, email with return address header) that they are authorized to receive such data and they understand the implications of and requirements for handling sensitive and proprietary technical data.

Principally where data is identified as sensitive or OFSUK Proprietary Data, restrictions apply to the control, handling and monitoring of such data. Only authorized personnel **shall** have access to restricted data and the data **shall** be controlled in such a way as to prevent unauthorized transmission or access.

Suppliers that require Restricted and Official Sensitive Classification data **shall** have a procedure in place for the control, handling and monitoring of such data.

Where a supplier is identified on a Technical Assistance Agreement (TAA) or Manufacturing License Agreement (MLA), the organization **must** complete a Non-Disclosure Agreement (NDA) when requested by OFs and **shall** continue to maintain access controls in accordance with the NDA and any Technology Control Plan (TCP) that OFs and the organization enter into. OFs reserve the right to issue an NDA where OFs deem sensitive information will be shared with the supplier.

### 13.1 Sub-Tier Suppliers

Sub-tier suppliers and sub-contractors used by the supplier that have access to any sensitive or OFs proprietary data **must** be authorized with an NDA in place.

### 13.2 Disposal of Sensitive and OFs Proprietary Data

Hard-copy documentation that is no longer needed **must** be disposed of in shredder bins or confidential material disposal bins. Scrap products and components **shall** be destroyed, rendered unusable and unrecoverable and **specific disposal sanctioned by OFs Supply Chain.**

## 14. Munitions

### 14.1 Weapons

Suppliers transporting weapons or weapon component parts **must** hold a current MHA approval to transport goods controlled under The ARMS ACT, 1959 and explosive handling procedure as per Explosive Rule 2008.

## 15. Supplier Code of Conduct

Suppliers shall ensure operations are being performed in a manner that is appropriate, as it applies to

their ethical, legal, environmental, and social responsibilities. Below is a listing of the basic requirements:

## 15.1 Compliance with Local Laws and Regulations

Suppliers must adhere to the laws and regulations in the locality in which they reside. This includes all local, state, and federal laws/regulations in the country of origin.

## 15.2 Compliance with Environmental, Health and Safety Laws

The Supplier must maintain and operate its manufacturing/production facilities and processes in accordance with local, state, and federal laws/regulations in the country of origin. At no time shall any OFs person be exposed to hazardous materials or unsafe conditions as a result of Supplier shipments to a OFs location,

or while visiting a Supplier's location. For items with inherent hazards, safety notices must be clearly visible. As applicable, documented safety handling and protection information must be provided.

## 15.3 Product Safety

In all instances where a product is manufactured to a new design, for a new system, or for a new application, it is important that Supplier and OFs allocate responsibility for assuring that all performance, endurance, maintenance, safety and warning requirements are met. It is preferred that this allocation of responsibility be in writing.

## 15.4 Non-Discrimination

Suppliers shall not discriminate against race, color, sex, religion, age, physical disability, political affiliation, or other defining characteristics as prohibited by local, state, and federal laws/regulations in the country of origin.

## 15.5 Labor

**Child Labor** – Suppliers shall employ workers of minimum legal age in accordance with local, state, and federal laws/regulations in the country of origin. Child labor laws must be followed.

**Forced/Indentured Labor** – Suppliers shall not practice the use of forced or indentured labor.

**Work Hours/Days** – Suppliers shall not exceed the daily and weekly working hours as permitted by local, state, and federal laws/regulations in the country of origin.

**Wages and Benefits** – Suppliers shall compensate workers in accordance with local, state, and federal laws/regulations in the country of origin. This includes minimum legal wage, overtime wages, and benefits (required by law).

## 15.6 Ethics

Evidence of corruption, bribes, improper advantage, or any other form of illegal practice by the Supplier or associated operations will terminate all relations with OFs. Suppliers will conduct their business in a manner that meets the Code of Ethics.

## 15.7 Code of Conduct and Policy Enforcement

This policy applies to Suppliers and their sub-tier sources. It is the responsibility of the Supplier to verify and monitor compliance of this code at their operations and sub-tier source operations.

## 16. Supplier's Registration Process

OFs requires all Suppliers to be registered prior to the issuance of contracts. The essential requirements as well as the complete process of suppliers' registration in OFs is given in detail in SOP for Vendor Registration. However, the various steps for registration, in brief is given below:

- The items advertised for registration shall contain information about Manufacturing Technology involved and Inspection / Testing Facility required to produce the desired items.
- Supplier will submit request for registration in a standardized format in online mode through the OFB online vendor registration portal with URL://ofbindia.gov.in/vendoralong with prescribed fees and requisite documents/credentials for specific products
- Self-declared details/documents submitted about Plant & Machineries and Inspection Capability shall be the basis on which a vendor will be considered for registration. The evaluation of the vendors should be based on the competency mapping in terms of the Plant & Machinery etc.

**The various scenarios for different category of vendors are given below:**

- i) Manufacturers & System Integrator will be considered for registration provided it is found that:
  - a) the manufacturing facilities declared by the vendor (in-house as well as outsourced) are sufficient to produce & deliver an item, without necessity of ex-ante CV.

OR

- b) manufacturing facilities declared by the vendor (in-house as well as outsourced), & verified through presentation on technical capabilities by the firm to support application is sufficient to produce & deliver an item.

OR

- (c) manufacturing facilities declared by the vendor (in-house as well as outsourced), for items involving critical technology & verified through ex-ante CV to support application is sufficient to produce & deliver an item.

- ii) Sole Selling Agents/Dealers/Stockists will be considered for registration provided they have valid authorisation from the OEM.

**(iii) Registration**

A supplier, qualifying in the evaluation process mentioned above (for the respective category) will be registered centrally (with unique vendor registration code).

**--End of Document--**

## Appendix 1 – Additional Flow-Down Requirement Selection Flowchart

