Objective Quality Evidence Requirements of Non-Boat Assets

ASC Australia's Submarine Company

1. Introduction

1.1 Purpose

The purpose of this document is to define the Objective Quality Evidence (OQE) requirements for the purchasing and procurement of non-boat assets within ASC. It specifies the minimum evidence required to confirm that these assets are compliant, safe, fit-for-purpose, traceable, and ready for use in ASC operational environments.

As part of the ASC document review process this document is required to be reviewed at least every two (2) years, or when there is a change that may affect this document.

1.2 Scope

This document applies to the procurement of items and equipment that are non-boat assets within ASC. This equipment may be used in production, maintenance, inspection, testing, and validation activities. It includes but is not limited to:

- electrical and mechanical equipment;
- lifting and handling aids;
- inspection, measurement and test equipment; and
- Original Equipment Manufacturer (OEM) systems (including software- or firmware-enabled items) for which OQE is required.

This document does not apply to:

- submarine or boat catalogue/configuration items;
- hardware or equipment intended for submarine/boat installation or supplied as part of a submarine/boat; and
- materials and parts governed by submarine/boat technical documentation and controls.

1.3 Applicable and Referenced Documents

Superior Documentation

- CM-50720 Quality Management Policy
- CMS-50653 Supplier Quality Assurance Manual
- CMS-51310 Procurement of Purchased Manufactured Items
- CMS-56066 Facilities Asset Master Data Management
- CMS-51307 Allocation Of Objective Quality Evidence (OQE) (Subsafe And Non-Subsafe) And Traceability Requirements
- CMS-54386 Acquisition of Energised-Plant Process

Reference Documents

- ISO 9001 Quality management systems requirements
- ISO 17025 General requirements for the competence of testing and calibration laboratories
- ISO 55001 Asset management requirements
- ISO 14001 Environment management system requirements
- ISO 45001 Occupational health and safety management systems
- *Work Health and Safety Act 2011*
- Managing Risks in the Workplace – Code of Practice
- AS 4024.1100:2014 Safety of Machinery
- AS/NZS 3000 Australian/New Zealand Wiring Rules

Subordinate Documentation

- FM-53747 Pre-Purchase Plant Risk Assessment

1.4 Monitoring, Evaluation, and Review

This document will be reviewed every two years as part of the CMS review process. Supplier compliance to this process will be monitored through receipt inspections and supplier quality assurance audits.

1.5 Definitions

Acronym/Term	Definition
COTS	Commercial Off The Shelf
DGR	IATA Dangerous Goods Regulation
DOC	Declaration of Conformity
EMC	Electro Magnetic Compatibility
FAT	Factory Acceptance Test
IATA	International Air Transport Association
MDR	Manufacturers Data Records
NCR	Non-Conformance Report
OEM	Original Equipment Manufacturer
OQE	Objective Quality Evidence
PKG	Packaging
PO	Purchase Order
PTS	Purchase Technical Specification – defines technical requirements, certification info, OQE needs, and all details required to specify a part and its documentation
QC	Quality Control
QMS	Quality Management System
RCD	Residual Current Device
RCM	Regulatory Compliance Mark
SAT	Site Acceptance Test
SDOC	Supplier Declaration of Conformity
SDS	Safety Data Sheet
SDRL	Supplier Data Requirement List
SME	Subject Matter Expert
SN	Serial Number
SOC	State of Charge
SQA	Supplier Quality Assurance
UBSL	Used by Date / Shelf Life
VER	Version Number
VIR	Visual Inspection Report
WCCS	Weight Control Certified Statement
WCS	Weld Certified Statement
WHS	Work Health and Safety

1.6 Summary of Changes

Revision	Changes since last published revision
1.0	New document. Required for the management of non-boat assets such as portable equipment and tooling.

2. Objective quality evidence master list – non-boat asset

Purchase Orders (POs) and contract documentation for ASC-purchased non-boat assets require the provision of OQE.

The table below describes the OQE attributes applicable to the procurement of non-boat assets. The minimum OQE requirements are selected from the table below and specified within the relevant PO or contract.

Abbreviation	Attribute	Description
BN	Batch Number	A BN is a unique identification number for each batch of material used in the manufacture of the delivered item, as required by applicable standards and specifications.
CAC	Calibration Compliance and Certification	Certifies that all test equipment used to provide test results for the delivered item were calibrated in accordance with an ISO17025-accredited laboratory. Certificates should be completed by a company that is certified by an International Laboratory Accreditation Corporation (ILAC) member, such as the National Association of Testing Authorities (NATA). In lieu of a certified statement, copies of CACs may be provided.
COC	Certificate of Conformance	A certified statement by the supplier that the delivered item(s) meet(s) all requirements specified by the PO or Contract. Where an unserviceable item is sent to a supplier, refurbished and subsequently returned to ASC as a refurbished item (PO Condition Code: Repaired), the refurbished item shall be clearly identified as refurbished on the Certificate of Conformance; and where the supplier is required to submit a Manufacture Data Report (MDR) as supporting OQE, it will be clearly identified within the MDR. The CoC shall clearly identify each delivered item as a minimum by: • PO/Contract Number; • PO Line/Item Number; • ASC Part Number (and NSN if applicable); • Manufacturer's Part Number and/or Supplier Part Number; and • Item Description, and Quantity. If specified as a deliverable OQE attribute, the following additional information shall also be included: • SN • BN • UBSL
MSG	Machine Safeguarding / Safe-by-Design	Supplier shall provide, as minimum OQE, a: • certificate of AS/NZS 4024 compliance to applicable standard for the supplied plant/ equipment (identifying model/revision/serial), the Vendor risk assessment for the plant/ equipment; and • general machinery safety Instructions covering safe operation, limits of use, and safeguarding-related inspection/maintenance requirements.
RCM	Regulatory/ Market Compliance (RCM/EMC/ Safety/Radio)	Evidence of compliance with applicable AU/NZ regulatory requirements, including signed DoC/SDoC (and certificate/approval where required), list of applied standards/editions, test report references, and photos of compliance markings. If not applicable, provide a clear written justification statement.

Abbreviation	Attribute	Description
TT	Test and Tag	Provide a compliant test record for portable electrical equipment and RCDs, including asset ID/serial number, visual inspection findings, earth continuity/insulation results, tester name/competency, test date, next due date, and tag identifier/colour.
IT	Insulation Test	Provide a record certifying the item passed the specified insulation test (may be standalone or included within the functional/performance test record).
ESD	Electrostatic Discharge	Provide a statement and evidence that items sensitive to ESD were handled, tested, and packaged per an approved ESD standard, including packaging type and labels.
DOM	Date of Manufacture	States the date on which the delivered item was manufactured. The date is to be stated on the packaging. The date may be stated on a separate document or stated on the COC.
EXP	Certification Expiry Date	Certifies the date on which the pressure vessel must be re-tested/re-certified in accordance with a pressure vessel standard. The certificate is to include the standard to which it was tested.
FPT	Functional/ Performance Test Report	Certifies the results of manufacturer's tests and inspections carried out on the delivered item. The record shall contain details of the procedure carried out; the pass/fail criteria and the results achieved from each test and inspection. NOTE: If assembly OQE does not require a SN, then the Functional/ Performance Test Report does not require reference to a SN.
LCS	Load Certified Statement	Supplier shall provide a signed Load Certified Statement confirming the lifting item is certified/tested to the nationally recognised standard stated on the PO, with SWL/WLL and unique ID permanently marked. Statement shall include item identification (description, part no., drawing/spec and rev, manufacturer/supplier, serial/asset ID) and the SWL/WLL configuration/conditions of use (incl. any de-rating). Attach supporting OQE: proof load test report/certificate and/or engineering verification (as permitted), including test load, method, acceptance criteria, results, and test equipment calibration traceability. For custom-made items or any modification to standard OEM-supplied items, the supplier shall notify details; additional design/change documentation will be requested separately. Engineering preference is design verification to permissible stresses per AS 3990 to minimise risk of overstressing during AS 4991 Chapter 12 proof loading.
MDR	Manufacturers Data Records	A folder (or similar) which contains all compiled documentation required as OQE, the extent of this OQE being specified in the PO or contract. For single item deliveries, the MDR front cover shall clearly show the PO/Contract number, line-item number, item description, and catalogue number. For multiple item deliveries, the front cover shall show the PO/Contract number, and the MDR shall include the agreed index that cross-references each line item and item description to its catalogue number and associated OQE. Additional item identification requirements may be applied where specified. Where required, MDR shall include controlled copies (document number, revision and date) of all installation drawings, wiring diagrams, interface/control schematics, spares and consumables lists, preventive maintenance schedules, troubleshooting guides, recommended torque/lubrication data, and any service bulletins current at the time of shipment.

Abbreviation	Attribute	Description
PKG	Packaging Requirements	For each delivered item, the following identification information shall be provided on the packaging of the delivered item(s): • PO/Contract number; • line or item number; • item description; and • ASC catalogue number (if ordered that way). Additional packaging identification or protection requirements may be specified based on the product's attributes. Where applicable, the supplier shall ensure packaging includes ESD-safe materials, moisture barrier bags and desiccant, rust prevention measures, cleanliness and part-protection controls, shock or fall indicators, correct upright/orientation markings, temperature-limit labelling, relevant dangerous goods labelling, and any required handling or storage instructions. The supplier must make sure all lithium batteries are shipped safely and legally in Australia, with correct testing, packaging, labels, documents, and any extra rules followed for the transport method used.
PTC	Pressure Test Certificate	Certifies that pressure testing has been performed and records the requirements and test results. The certificate shall include item SN; max test pressure; test medium; duration; and result.
SDS	Safety Data Sheet	Safety Data Sheets are documents that provide critical information about hazardous chemicals. For example, they include information on: • the chemical's identity and ingredients; • health and physical hazards; • safe handling and storage procedures; • emergency procedures; and • disposal considerations. In Australia, manufacturers and importers of hazardous chemicals must adhere to the model Code of Practice for the preparation of safety data sheets for hazardous chemicals. Failure to create Safety Data Sheets correctly is a breach of Work Health and Safety legislation.
SN	Serial Number	A Serial Number is a unique identification number for every delivered item. This SN is nominated and maintained in a register by the supplier. The Serial Number shall be permanently stamped, stencilled, etched or engraved on the delivered item in a clearly visible location and the number shall be recorded on the supporting documentation. The Serial Number shall be recorded exactly as it appears on the physical part (numbers, letters, characters, spaces) on all associated OQE.
UBSL	Use by Date/ Shelf Life	States the maximum period the delivered item may be held in storage before use for its intended purpose. The UBSL is to be stated on the packaging, and include: • Date of Manufacture; and • Date of Expiry. Whenever a COC is provided, the UBSL and BN must be stated on the COC.
VIR	Visual Inspection Record	Certifies that the material has been visually inspected, assisted where necessary using X5 magnification optics, in accordance with a material standard that is approved for use. The statement may be reported on the Dimensional Inspection Record or COC.
WCS	Weld Certified Statement	A statement certifying that the welding associated with the manufacture of the delivered item was performed and inspected in accordance with a standard that is approved for use.

Abbreviation	Attribute	Description
SCWHS	Safety Certificates and WHS Documentation	Designers, manufacturers, importers and suppliers have duties to provide information about the plant to enable other duty holders to fulfil the responsibilities they have in managing the risks associated with it. This information must be given to each person to whom the plant or its design is provided. Information must be passed on from the designer through to the manufacturer and supplier to the end user. This information includes: • the purpose for which the plant was designed or manufactured; • the results of calculations, analysis, testing or examination carried out to determine that the plant, so far as is reasonably practicable, is without risk to health and safety; • conditions necessary for the safe use of the plant; and • alterations or modifications made to the plant. The supplier shall provide Safety Certificates and all required WHS documentation for the plant. Where hazardous chemicals are used or contained within the plant, the supplier shall also provide the applicable Safety Data Sheets and ensure they are cross-referenced in the documentation.
TM	Technical Manuals	The supplier shall provide all operational, setup/installation, and maintenance manuals required for the safe, effective, and compliant use of the equipment. All manuals shall be approved documents and shall include full document control details, including document number, revision status, effective date, and change history where applicable. **a. Operational manuals** The supplier shall supply approved operational manual(s) covering normal operating procedures, safety precautions, troubleshooting guidance, alarm handling, equipment limitations, and any additional operational requirements necessary to ensure safe and reliable use of the equipment. Each manual shall be uniquely identified by document number, revision, effective date, and documented change history. **b. Setup / Installation manuals** The supplier shall supply approved setup, installation, and commissioning manual(s) detailing all requirements for physical installation, configuration, pre-start checks, commissioning processes, acceptance criteria, and de-installation procedures. All documents shall include full document control information, including document number, revision, and effective date. **c. Maintenance manuals** The supplier shall provide approved maintenance manual(s) containing preventive maintenance schedules, detailed maintenance procedures, torque values, lubrication schedules, spare parts and consumables lists, and all required inspection, measuring and test equipment necessary to maintain the equipment in accordance with OEM specifications. Document control details shall be included for all maintenance documents.
WD	Warranty Documentation	The supplier shall provide a warranty statement/certificate linked to the delivered asset. At minimum, this shall include model/part number, serial number, warranty provider, start date, end date, inclusions and exclusions, conditions to maintain warranty (e.g. authorised servicing, preventive maintenance, operating limits) and claim instructions. This warranty statement may be provided on the COC.

PR	Plant registration	If the plant requires registration in accordance with the *Work Health and Safety Regulations 2011* and the Code of Practice for Managing the Risks of Plant in the Workplace, the supplier must provide proof of registration at commissioning/hand-over.
		Minimum deliverables (attach in MDR and reference on CoC):
		• Registrable plant:
		  • copy of item registration and/or design registration, including regulator/jurisdiction, registration number and expiry (if applicable). If not registrable, provide a brief statement confirming 'not registrable' and why.
		• Handover/induction record:
		  • confirmation that operating limits, controls and any conditions of use were explained at hand-over.

Abbreviation	Attribute	Description
ASBUILT	As-Built Configuration and Revision Record	Record of delivered configuration including hardware part numbers and revisions, serialised subassemblies, firmware/software versions, configurable options, and drawing/spec revisions.
SMP	Spares and Maintenance Plan	The supplier is required to provide comprehensive maintenance, technical support, calibration services, and heating element consumables in accordance with technical specification. This includes local maintenance support within South Australia, execution of maintenance activities aligned with OEM major service recommendations, and the provision of detailed lists covering consumables, critical and non-critical spares, along with associated delivery lead times and spares methodology. The supplier must also supply and deliver onsite service and maintenance training, recommended calibration requirements, relevant documentation and manuals, and a full list of calibration equipment with technical specifications. Additionally, training on calibration equipment must be provided, and all necessary software and firmware, including upgrades after the warranty period, must be supplied to ensure the ongoing functionality of the equipment.
PEM	Declared Performance and Environmental Metrics	Manufacturer's declarations (or test results) for noise levels, vibration, consumed power/current (inrush where relevant), efficiency class, heat load, and any emissions (dust/fumes) with required controls.

Note: The design of all equipment, along with associated layouts, must comply with all applicable Australian legislation, standards, and environmental regulatory requirements.

The following documents shall apply, including but not limited to:

- *Work Health and Safety Act 2011* (SA)
- *Work Health and Safety Regulations 2011* (SA)
- *Electricity Act 1996* (SA)
- *Electricity (General) Regulations 2012* (SA)
- Applicable Codes of Practice
- Relevant Australian Standards (AS)
- Relevant International Standards (ISO/IEC)

Australian Standards shall take precedence over International Standards where both exist, as they may be referenced in Australian legislation. The only exception is when a more recent version of an International Standard exists that has not yet been adopted in Australia. In such cases, the equipment supplier must identify this and obtain client approval before applying it.

If any conflict, inconsistency, or ambiguity arises between Australian legislation, standards, or any additional technical references proposed by the equipment supplier, it is the supplier's responsibility to advise the client and propose a recommended action to resolve the issue.

The equipment supplier must always adopt the strictest tolerances specified across the applicable documents. Where stricter tolerances are identified, these shall take precedence.

Design and drawings:

All design documentation and drawings must reference the relevant Australian Standards. If no applicable Australian Standard exists, a suitable International Standard (including specific referenced sections) may be used, subject to client review and acceptance.

Equipment reliability, accuracy, and tolerances:

Where Australian Standards do not apply, equipment shall be designed in accordance with all relevant ISO standards relating to reliability, accuracy, and tolerance requirements, unless otherwise specified.

Supporting information:

- Australian WHS acts and regulations: https://www.safework.sa.gov.au/resources/legislation
- Codes of practice: https://www.safework.sa.gov.au/resources/codes-of-practice
- Hazardous chemicals and substances: https://www.safework.sa.gov.au/workplaces/chemicals-and-substances

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