IECEE OD-4001Annex SR-EU Ed. 1.0

FACTORY SURVEILLANCE SERVICE
OPERATIONAL & RULING DOCUMENTS

Factory Surveillance Report Annex Special Requirements For Europe

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OD-4001Annex SR Ed. 1.0
2012-11-19

Surveillance carried out by	
CB-FSB	
Reference number	

Introduction

The objective of the Factory Surveillance is:

- to evaluate the capability of a Factory to produce products within a consistent Manufacturing process.
- to verify that the Manufacturer's Quality Management Measures, Assembly line, Inspection and Testing Procedures, Facilities and Equipment etc. are set to comply with the applicable requirements.
- to cover any declared additional certification-related requirements of the National Certification Bodies.

The Factory Surveillance should be focused on the relevant Scope of Category(ies) and Standard(s) associated with the certified products concerned.

This SR-Annex covers special requirements of European Certification Scheme CCA and shall be used in conjunction with OD-4001.

General guidance

Guidance on how to fill in the present form is given in the document OD-G-4001, Guidance for Factory Inspectors.

Guidance for this SR-Annex is given in a related SR-Annex to OD-G-4001

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Contents (to be updated when agreed)

Item	Title	Covered / Included
SR-EU 2	Periodic Product verification tests	☐
SR-EU 3	Manufacturer's self-assessment Reserved for future use	☐
SR-EU 4	Selection and shipping of samples for re-examination samples Reserved for future use	☐

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1 Special Surveillance Details see SR-EU-Annex 1

2 Periodic Product Verification Tests (PVT)

	YES	N/A	NO
Are Periodic Product Verification Tests (PVT) required? See SR-EU-Annex 2"	☐	☐	☐
Are Periodic Product Verification Tests (PVT) carried out	☐	☐	☐

If PVT are required and carried out please fill in SR-EU-Annex 2 (link)

3 Manufacturer's self-assessment of the manufacturing - and control process (or internal QMS audit)

	YES	N/A	NO
Is there a Manufacturer's self-assessment of the manufacturing- and control process (or internal QMS audit) Fill in SR-EU-Annex 3 *(if applicable)*	☐	☐	☐

4 Selection and shipping of samples for re-examination

	YES	N/A	NO
Is there a Selection and Shipping of Samples for Re-Examination*? If yes fill in SR-EU-Annex 4 (if applicable)	☐	☐	☐

***Requested by Certification Body/ies or National Regulatory organisations.**

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5	**See OD-4001 clause 17.3 Attachments added for SR-EU**	**YES** ☐	**NO** ☐
	Attachments: *For page control, please write the reference number in the header of each attachment page.*		
	Special Surveillance Details (SR-EU-Annex 1)		
	PVT (SR-EU-Annex 2)		
	Manufacturer's self-assessment (SR-EU-Annex 3)		
	Selection and shipping of samples for re-examination (SR-EU-Annex 4)		
	Test Data Sheet – Periodic Product Verification Tests (PVT) (SR-EU-Annex 2-1)		
	Identification of Selected Samples (SR-EU-Annex 5)		
Total no. of pages of this Annex-SR-EU incl. attachment pages: (to be added under clause 17.3 of OD-4001)			

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Non Conformity Sheet Annex SR-EU

Non Conformity Sheet No /			
Finding:			
Surveillance report item:			Level (see 17.2):
The Manufacturer has to inform the CB-FSB about the proposed corrective actions within _____ weeks.			
Manufacturer's representative:			Inspector:
Corrective action:			
Date implemented:			Implementation verified on (date):
Implementation satisfactory	YES ☐	NO ☐	Inspector:

Non Conformity Sheet No /			
Finding:			
Surveillance report item:			Level (see 17.2):
The Manufacturer has to inform the CB-FSB about the proposed corrective actions within _____ weeks.			
Manufacturer's representative:			Inspector:
Corrective action:			
Date implemented:			Implementation verified on (date):
Implementation satisfactory	YES ☐	NO ☐	Inspector:

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SR-EU-Annex 1

1. Optional Surveillance details				
Special requirements	Surveillance X of Y	File reference No.	Product	Type of Product

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SR-EU-Annex 2 for PVT

2 Periodic Product Verification Tests (PVT)

2.1 Where are required PVT conducted? *(One or more boxes may be ticked)*

☐ PVT conducted at the factory location
☐ PVT conducted at a external laboratory owned by the manufacturer
☐ PVT conducted at a external laboratory owned by the Certificate holder
☐ PVT conducted by independent external laboratory
☐ PVT conducted by certification body's laboratory
☐ Others *(please provide details)*:
☐ Details are given on Inspector's Evaluation Informative page.

If conducted at a location other than the manufacturers premises, then specify where performed:
☐ Details are given on Inspector's Evaluation Informative page.

Note: Product Verification Tests shall be conducted under the responsibility of the manufacturer and may be named also as Periodic Tests or Sample Tests depending on the certification scheme.

Describe which tests(required by e.g. the requesting certification body or certification scheme) are conducted and at what sampling rate on Test Data Sheet – Product Verification Tests

Note: Details of any additional product verification tests should be entered by the Inspector on the Inspector's Evaluation Informative page instead of the Test Data Sheet.

	YES	N/A	NO
2.2 Are the tests conducted in accordance with procedures?	☐	☐	☐

Description of the procedure or ref. of documented procedure & revision or issue date:
☐ Details given on Inspector's Evaluation Informative page

	YES	N/A	NO
2.3 Is appropriate equipment that is required for conducting tests available?	☐	☐	☐

	YES	N/A	NO
2.4 Are the tests described in Test Data Sheet – Product Verification Tests in compliance with the requirements? *(of e.g. the requesting certification body or certification Schemes)*	☐	☐	☐

	YES	N/A	NO
2.5 Is there a procedure requiring actions to be taken if PVT are found to be unsatisfactory?	☐	☐	☐

Description of the procedure or ref. of documented procedure & revision or issue date:
☐ Details given on Inspector's Evaluation Informative page

	YES	N/A	NO
2.6 Are the records of product verification tests maintained and satisfactory?	☐	☐	☐

	YES	N/A	NO
2.7 Are records kept at least for the period between two Surveillance visits?	☐	☐	☐

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SR-EU-Annex 2-1 Test Data Sheet – Periodic Product Verification Tests (PVT)

Certification Body	Product, Sampling rate, Standards Clause or Test-parameters, Results, Frequency

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SR-EU-Annex 3 Manufacturer's self-assessment

3	**Manufacturer's self-assessment of the manufacturing- and control process (or internal QMS audit)**			
3.1	Does the manufacturer regularly check that all procedures as required are followed?	YES ☐	N/A ☐	NO ☐
3.2	Are records regarding results and actions taken available? *If records could be not examined, this should be noted in the Inspector's Evaluation Informative page.*	YES ☐	N/A ☐	NO ☐
3.3	Are the personnel carrying out above required checks appropriately trained and independent of the process being assessed?	YES ☐	N/A ☐	NO ☐

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SR-EU-Annex 4 Selection and shipping of samples for re-examination

4 Selection and shipping of samples for re-examination
Regarding samples requested by the Certification Body(ies)(if any) please refer to the table Identification of Selected Samples and enter details as appropriate
4.1 Please give reasons why no samples were selected during the Surveillance: *(One or more boxes may be ticked)* ☐ None required by any certification body: ☐ No production, no stock: ☐ Built to clients' order ☐ No access to warehouse ☐ Warehouse not at manufacturer's location ☐ Manufacturer has not been instructed to send samples for re-examination: ☐ Others (Please provide details): ☐ Details are given on Inspector's Evaluation Informative page
4.2 If the selected sample(s) do not bear any certification mark(s), then provide the reason for selection in the table Identification of Selected Samples: *(One or more boxes may be ticked)* ☐ Type reference is mentioned on the certification body's listing ☐ Mark is applied on the package, catalogue or by other means ☐ Special sample selection order ☐ Others (Please provide details): ☐ Details are given on Inspector's Evaluation Informative page

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SR-EU-Annex 5 Identification of Selected Samples

Identification of Selected Samples			**at manufacturer:**	**Date:**			
Selected for	Label No.	Quantity	Product / Type / Technical data	PID Number	Production period	Code letters	
						☐ P ☐ S	☐ F ☐ T ☐ A
						☐ P ☐ S	☐ F ☐ T ☐ A
						☐ P ☐ S	☐ F ☐ T ☐ A
						☐ P ☐ S	☐ F ☐ T ☐ A
						☐ P ☐ S	☐ F ☐ T ☐ A
						☐ P ☐ S	☐ F ☐ T ☐ A

Code letters: P = Sample from Production or from S = Stock
F = Forwarded by the Manufacturer; T = Transported to the Certification Body by the Inspector; A = Shipped by the Surveillance Body