

IECEE

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**FACTORY SURVEILLANCE SERVICE
OPERATIONAL & RULING DOCUMENTS**

**Guide to Certificate Holders and
Manufacturers
SR from European Schemes**

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Introduction

This document has been produced to provide help and guidance to Certification Bodies, Inspectors, Manufacturers and Certificate Holders on how Factory Surveillances are conducted. Under the IECEE-CB-FSS Factory Surveillance Service, irrespective of which CB-FSB undertakes the Surveillance, the procedures whereby Certification Bodies have factories assessed and Inspectors undertake this Surveillance are the same.

For clarity the document has been divided into two parts:

- Part I: Advice to the Certificate Holders and Manufacturers
- Part II: Factory Surveillance procedures and tests which Manufacturers are expected to provide

This document covers SR (Special Requirements) from European Schemes

Part I Advice to the Certificate Holders and Manufacturers

No SR from European Schemes

Part II Factory Surveillance procedures and tests which Manufacturers are expected to provide

1 Introduction

This document deals with the factory surveillance procedures and tests which Manufacturers are expected to provide and operate to ensure that all certified products are identical, within accepted manufacturing tolerances, to the sample against which the product certification was granted. This document should be taken to represent the minimum acceptable standard.

2 Periodic Product Verification Tests (PVT)

The tests are carried out by the manufacturer or on its behalf with at least the frequency indicated and the test results shall be kept at disposal of the inspectors of the Certification Body.

Product verification tests are in addition to the production line inspection and routine tests and are performed on samples taken randomly from the production line.

In selecting samples for periodic tests preference should be given to products whose characteristics are close to the limiting values and to tests relevant for safety considerations according to the relevant standard.

These tests are performed according the paragraphs of the certification standard to demonstrate continuous compliance with the certification standard. The tests may be carried out at a location other than the Manufacturer's premises, but records with the results shall be available with the manufacturer and shall also include information about test and measuring equipment used, including calibration. Product verification tests may be standardized or may not be required for certain product categories, if the relevant IEC-Technical Committee so decides.

In cases where there are no NCB and/or certification scheme requirements it is up to the Manufacturer to determine the need, nature and frequency of these tests and the sampling rate, taking into account the construction of the product, the nature of the standard, the results of the original type tests, inspections and routine tests, the quality control and the quantity of products manufactured. It is the responsibility of the Manufacturer to choose the appropriate methods. Product verification tests need not to be identical to the type tests specified in the relevant standard.

For the product verification tests a procedure shall be available. It is the Manufacturer's responsibility to ensure that appropriate corrective actions are taken in the case that the results of the product verification tests are found to be unsatisfactory. The actions to be taken shall also be part of a procedure.

The Inspector or Certification Body's representative will check that the Manufacturer's obligation is adequately fulfilled.

3 Manufacturer's self-assessment of the manufacturing- and control process of certified products (Former: Audits of the Quality System)

The Manufacturer shall regularly monitor all procedures used in the manufacturing- and control process of certified products. This monitoring shall at least include verification that the procedures, instructions and guidelines are up-to-date and properly applied by personnel (including the keeping of records). Manufacturer's procedures shall at least comply with the requirements as given in this document. The results of the monitoring shall be recorded, including corrective actions taken. Persons carrying out the monitoring shall preferably be independent from the production process they are monitoring.

4 Selection and Shipping of Samples for Re-Examination

If required by the NCB the manufacturer shall assure that re-examination samples can be selected by the inspector from the production line or from stock. If the re-examination sample(s) are not transported by the inspector the manufacturer shall assure that no modifications are made to the sample(s) selected and shall send the samples to the NCB in accordance with the Certification Body's requirements.