Issue Date	Rev. No.	Summary Of Amendments
20/08/2005	0	First draft for comments
30/04/2006	1	Issue for use
13/08/2009	2	Document reference number and format is changed according to the new IMS Provision to adjust the surveillance plan based on the result of the previous surveillance audit and update it every end of the quarter. Provision to draw samples in the factory if the certified product is not available in market or produce the product if stock is not available in the factory.
14/09/2009	3	Adding provisions for maximum period allowed to rectify non-compliance maximum period allowed for postponement of initial assessment
21/12/2009	4	Adding provisions on the reference date for the commencement of the surveillance plan; clause 5.1.2 Adding provisions of sampling in clause 5.4
09/03/2010	5	Provision to get two sets of samples during market surveillance has been removed. Provision related to the non-availability of the certified products during market surveillance has been amended.
18/03/2012	6	Provision for the removal of the product in the scope of certification should no surveillance testing has been carried out (clause 5.5.2). Re-numbering of clauses
17/05/2017	7	Adding clause for surveillance planning as per Annex A [5.1.2] and adding clause for Special Surveillance [5.8]. Other modifications as highlighted.
21/06/2018	8	Updated frequency of market surveillance Annex B. Updated format as per DM unified template;
26/03/2019	9	Updated as per new DM logo

1. INTRODUCTION

1.1 This document describe the process of conducting surveillance of all certified clients under the Factory Assessment Certification Scheme to ensure consistent compliance with the General Rules and Specific Rules of the certification schemes, and consistent compliance of the certified products to the standard specifications or regulations.

2. SCOPE

2.1 This procedure applies to all existing certified clients under the Factory Assessment Scheme.

2.2 This procedure covers from identification of certified clients subject for to surveillance up to notification of surveillance results to the client.

3. REFERENCE DOCUMENTS

3.1 RD-DP21-2001 (IC) General Rules for DM third party product certification through factory assessments

3.2 RD-DP21-2*nnn* (IC) Specific Rules for Certified Product

4. RESPONSIBILITIES

4.1 PCASM – Products Conformity Assessment Section Manager – responsible for the approval of the final recommendation on the action to be taken based on the results of the surveillance activity

4.2 HOU – Head Conformity Assessment Unit – responsible for the designation and appointment of auditors who will
conduct the surveillance audit. He is also responsible for the evaluation of the surveillance report.

4.3 PQE/PQO/Inspector – Product Quality Engineer/Product Quality Officer/Inspector – responsible for implementing the surveillance plan

5. PROCEDURE

5.1 Preparation and implementation of surveillance plan

5.1.1 HOU shall designate the PQE/PQO who will be responsible for the preparation of a comprehensive surveillance plan covering all the certified clients under the Factory assessment scheme (RD-DP21-2001 (IC)).

5.1.2 The surveillance plan shall be prepared in accordance with the guidelines given in Annex A. The Comprehensive surveillance plan shall cover both Factory Surveillance and Market Surveillance. The surveillance plan shall commence from the date of approval of the certification, regardless of the date of issuance of the certificate.

5.1.2.a Factory surveillance consists of visit to factory to re-audit the factory quality management system and collecting sample of certified product for product testing and evaluation.

5.1.2.b Market surveillance consists of collecting samples of the product from the market or construction site for product testing and evaluation.

5.1.3 The PQE shall monitor the plan and inform the HOU regarding the certified clients that are due for surveillance.

5.1.4 Surveillance plan is subject to constant change based on the result of the previous surveillance conducted. Updating of the surveillance plan is done at the end of every quarter.

5.1.5 HOU shall appoint an PQE/PQO/Inspector who will conduct the surveillance activity according to the surveillance plan.

5.1.6 The PQE/PQO/Inspector shall coordinate and confirm with the company regarding the schedule of the surveillance prior to the scheduled date.

5.1.7 Appointed PQE/PQO/Inspector shall prepare all the necessary documents and forms for the conduct of the market and factory surveillance.

5.2 Factory Surveillance Audit

5.2.1 The factory surveillance audit shall be conducted based on the agreed schedule date and audit plan sent by the appointed PQE/PQO/Inspector.

5.2.2 During the actual visit to the factory, effectiveness of implementing the company's quality management system based on the documented procedures shall be verified.

5.2.3 Company's compliance to the implementation of the internal quality assurance plan shall also be verified and historical records of internal testing shall be cross checked against the requirements of the standard.

5.2.4 Any non-compliance raised during the factory surveillance audit shall be addressed to the company for corrective action to be submitted to the Certification Body within 1 month from the date of the audit. The completion date for the submitted corrective action shall be as per agreed period of time but not exceeding 6 months from date of issue. Under certain situation, and with the agreement of the Certification Body, the NCR may be re-issued (with a new completion date) at the end of the 6 months period. Non-compliance with these provisions may result in the cancellation of the application.

5.2.5 Samples of products covered by the scope of certification shall also be drawn randomly by the PQE/PQO/Inspector, either from the production line or warehouse for independent test.

5.2.6 Collected samples shall be properly identified by the sender number and signature of the PQE/PQO/Inspector.

5.2.7 Two sets of samples shall be selected. One set shall be sent to DCL, or to accredited laboratory for independent tests while the other set will be kept by the company for future reference.

5.3 Market Surveillance

5.3.1 On regular basis, the certified client shall be required to notify PCAS the location or site where the certified products have been supplied and are available for sampling.

5.3.2 The market surveillance shall be conducted based on the scheduled plan.

5.3.3 Based on the information supplied by the client as per [5.3.1], the assigned PQE/PQO/Inspector shall select the site where samples will be collected.

5.3.4 Upon arrival on the site, samples shall be drawn randomly by PQE/PQO/Inspector in the presence of company's representative.

5.3.5 Collected samples shall be properly identified by the sender number and signature of the PQE/PQO/Inspector for submission to DCL or accredited laboratory.

5.4 Sampling

5.4.1 Sampling arrangement should be implemented in such a manner that it ensures the impartiality of selection and integrity of the samples cannot be compromised.

5.4.2 Implementation of the sampling arrangements shall take into consideration the complexity of the production process, experience of the supplier/manufacturer, life cycle of the product, and changing technology.

5.5 Non-Availability of Samples during Market Surveillance

5.5.1 If (for whatever reason) the certified product is not available in the market during the period covered by the scheduled DCL market surveillance, DCL will arrange to carry out sampling at the factory. Factory sampling may be carried out during the scheduled factory surveillance audit or can be carried out by an outsourced accredited Conformity Assessment Body (CAB).

5.5.2 At least one surveillance testing shall be carried out on the certified product every year. If no surveillance testing has been carried out, the product shall be removed from the Scope of Certification at the time of renewal of the certification (refer to IMS-RD-06 Clause 6.3). *NOTE: If this situation is reached where no surveillance has been carried out, the client shall be notified accordingly at the time of the last scheduled surveillance.*

5.6 Independent testing

5.6.1 Independent tests shall be carried out by DCL or any other accredited independent laboratory.

5.6.2 Results of independent testing shall be evaluated against the requirements of the standard specification and the relevant specific rules.

5.6.3 If the result of independent testing is satisfactory, the certified client shall be informed accordingly and no further action is required.

5.6.4 If the result shows non-compliance with the standard specification, an NCR shall be issued and the client shall respond to the Certification Body with proposed corrective action within 1 month from the date of the issuance. The completion date for the submitted corrective action shall be as per agreed period of time but not exceeding 6 months from date of issue. Under certain situation, and with the agreement of the Certification Body, the NCR may be re-issued (with a new completion date) at the end of the 6 months period. Non-compliance with these provisions may result in the cancellation of the certification.

5.7 Reporting

5.7.1 The PQE/PQO/Inspector shall prepare the final surveillance report together with the appropriate recommendation for further action, if necessary.

5.7.2 HPCAS shall make final decision and notify the certified client regarding the official result of the surveillance audit.

5.8 Special Surveillance

5.8.1 In addition to the planned Factory and Market surveillance visits mentioned in the this document, the Certification Body may carry out special surveillance at any time and in any place in order to check whether the products conform to the requirements.

5.8.2 Special surveillance shall be carried out when abnormalities or non-compliances of certified products are brought to the attention of the Certification Body.

5.8.3 Special surveillance may be carried by DCL or by outsourced accredited CAB.

5.8.4 Special surveillance may be announced or unannounced.

5.8.5 If non-conformities are found during such special surveillance visits, a non-conformity report shall be issued to the client and the cost of testing and inspection shall be charged against the client, if applicable.

ANNEX A

Guidelines for the Preparation of Surveillance Plan

1. Factory surveillance

1.1 Scope - Certified clients shall be subjected to factory audit in order to re-assess the continuing compliance of the factory quality management system (QMS) and the continuing implementation of the agreed Factory Production Control (FPC) *[or sometimes referred to as internal quality control testing]*. Factory surveillance shall include selecting samples for independent testing.

1.1 Frequency - Regular factory surveillance audit and factory sampling for independent product evaluation shall be conducted by DCL or their authorized representative once every three years;

1.2 Special surveillance - During the three year cycle, special factory surveillance audit may be carried out if there are significant changes or unexpected situation in the factory that will affect the compliance of the product with certification requirements (see also clause [5.8].

2. Market surveillance

2.1 Certified clients subject to market surveillance shall be classified according to the criteria given in [3];

2.2 Based on their category, certified clients shall be subjected to market surveillance according to the frequencies mentioned in Table A.1;

3. Factory Classification for the purpose of market surveillance

S/N	Classification	Criteria (All requirements shall be satisfied)
1	Class A	1. Having other 3rd party product certification/inspection (other than DCL) 2. 0-3 product related findings (NCR) during the last factory audit (ex. Calibration, internal tests, process control,) 3. No product failures during independent testing and market surveillance testing;
2	Class B	1. 0-3 product related (NCR) during the last factory audit; 2. Max. one product failure during independent testing and market surveillance testing; 3. Having valid ISO 9001 certification
3	Class C	1. Not meeting the requirements for Class A or Class B.

4. Table A.1 Frequency of Market Surveillance

S/N	Classification	Market Surveillance
1	Class A	Once per year
2	Class B	Twice per year
3	Class C	More than twice per year

ANNEX B

Classification of Clients

[This is the initial* general classification]

S/N	Product Type	Classification
1	Concrete blocks	Class C
2	Low emitting materials (Paints, coatings, adhesives, sealants)	Class A
3	Ready mixed concrete plants and truck mixers (inspection for compliance)	Class A
4	Reinforcing steel bars, PC strands, couplers and steel fabric	Class A
5	Solar collector (inspection for compliance)	Class A
6	Thermal insulation	Class B
7	Pipe and duct insulation	Class B
8	Miscellaneous products (voluntary products)	Class A
9	Aluminum Composite Panels	Class A

* Continuous evaluation of classification

Each individual client shall be subjected to continuous evaluation based on the defined criteria and, according to the results of evaluation, may be re-classified.

Example: Clients may be promoted from Class C to Class B, and Class B to Class A, or demoted from Class A to Class B and Class B to Class C.