1 INTRODUCTION

1.1 This document describe the process of conducting surveillance audit to all DCL Technical Approval licensees by DM Certification Body after the issuance of the license in order to ensure consistent compliance with the General Rules and the Technical Approval Requirements (TAR) of the certified product/s.

2 SCOPE

2.1 This procedure applies to all existing DCL technical approval licensees.

2.2 This procedure covers from identification of licensees' subject for surveillance audit up to notification of surveillance result to the licensee.

3 REFERENCE DOCUMENTS

3.1 RD-DP22-001 (RSMO) General Rules for Technical Approval of Non-Standard Products

3.2 Technical Approval Requirements (TAR) issued for a product

4 RESPONSIBILITIES

4.1 HRSMO – Head of Research & Standardization Management Office – responsible for the approval of the final recommendation on the action to be taken based on the results of the surveillance activity

4.2 HTAG – Head Technical Approval Group – responsible for the designation and appointment of auditors who will conduct the surveillance audit. He is also responsible for the evaluation of the surveillance audit report.

4.3 PR – Principle Researcher – responsible for monitoring the licensees surveillance schedule

4.4 Auditor – responsible for conducting the surveillance audit of DCL technical approval Licensees including market monitoring of certified product.

5 PROCEDURE

5.1 Preparation and implementation of surveillance plan

5.1.1 HTAG shall designate the PR for the preparation of a comprehensive surveillance plan covering all the licensees under the Technical Approval of Non-Standard Products scheme **RD-RS-DP22-001**.

5.1.2 The surveillance plan shall commence from the date of approval of the certification, regardless of the date of issuance of the certificate.

5.1.3 The PR shall monitor the plan and inform the HTAG regarding the licensees that are due for surveillance audit.

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 HTAG shall appoint an auditor who will conduct the surveillance audit

5.1.6 The auditor shall coordinate and confirm with the company regarding the schedule of the surveillance audit a few days prior to the audit date.

5.1.7 Appointed auditor shall prepare all the necessary documents and forms for the conduct of the market and factory surveillance.

5.2 Factory Surveillance Audit (for system #5)

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

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 technical approval requirements.

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 or technical approval certificate.

5.2.5 Samples of products covered by the scope of certification shall also be drawn randomly by the auditor 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 RSMO auditor.

5.2.7 One set shall be sent to DCL (or any other DCL recognized independent laboratory) for independent tests while the other set will be kept by the company for future reference.

5.3 Market Surveillance

5.3.1 The market surveillance shall be conducted based on the scheduled plan and confirmation made by the client.

5.3.2 The client shall notify RSMO the location or site where the certified products are available for sampling.

5.3.3 Upon arrival on the site, samples shall be drawn randomly by the auditor in the presence of company's representative.

5.3.4 Collected samples shall be properly identified by the sender number and signature of the auditor for submission to DCL or approved laboratory.

5.3.5 If (for whatever reason) the factory did not produce any certified product during the period covered by the scheduled DCL surveillance or the supplier did not import any new shipments during this period, the surveillance sampling and testing or verification may be waived provided the factory or supplier issue in writing an official declaration/attestation that "no certified product was produced during that period" or "no products were imported during that period".

DCL reserves the option to conduct monitoring of the market to verify the validity of the declaration / attestation.

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, life cycle of the product, and changing technology.

5.5 Independent testing

5.5.1 Independent tests shall be carried out by DCL or any other recognized independent laboratory.

5.5.2 Independent verifications shall be carried out by DCL.

5.5.3 Results of independent testing/verification shall be evaluated against the requirements of the Technical Approval requirements.

5.5.4 If the result of independent testing/verification is satisfactory, the licensee shall be informed accordingly and no further action is required.

5.5.5 If the result shows non-compliance with the Technical Approval requirements, an NCR shall be issued to the licensee who shall submit it to the Certification Body the 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 application.

5.6 Fees

5.6.1 Testing fees and charges shall be paid by the licensees direct to the testing laboratory.

5.7 Reporting

5.7.1 The auditor shall prepare the final surveillance audit report together with the recommendation.

5.7.2 PR shall evaluate the final report and review the auditor's recommendation prior to submission to the HTAG for approval.

5.7.3 Upon approval, HTAG shall submit the auditor's recommendation to HRSMO for authorization.

5.7.4 Upon authorization, HRSMO shall notify the licensee regarding the official result of the surveillance audit.