



ICC-SRCC Surveillance Inspection Report	Listee Name:	
	Report Date:	

Summary Remarks:

#### 4. SIGNATURES

By signing below, the lead inspector attests that the information provided is accurate to the best of their knowledge, and that they have no undeclared conflicts of interest with the manufacturer and/or listee. By signing, the manufacturer's representative acknowledges the findings of this inspection report and any non-conformities. Both parties may enter any remarks for the benefit of the certification body reviewer.

LEAD INSPECTOR	MANUFACTURER'S REPRESENTATIVE
<i>Signature and date:</i>	<i>Signature and date:</i>
<i>Print Name:</i>	<i>Print Name:</i>
	<i>Title:</i>

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## 5. PRODUCTION CONTROL ASSESSMENT

### Part A: Review of Quality System

Evaluate the policies, procedures and records associated with the Quality System used to produce the certified products. Review may be conducted on the scheduled date of the inspection or through a prior document review.

TOPIC	EFFECTIVELY IMPLEMENTED?	NOTES
<b>1. <u>Basic Elements.</u></b> (AC-10 §2.0)  Quality Management System (QMS) maintained and implemented in the production the certified products.  Procedures/policies implemented for processing and documenting complaints and actions taken as a result for the certified products.	yes    no  yes    no	
<i>List key quality system documents evaluated (Name/Rev/Date). Use Appendix B if additional space is required.</i>		
<b>2. <u>Design Control.</u></b> (AC-10 §1.4.4.1, §2.1.7) Product design and material changes are documented and evaluated. Appropriate parties (including ICC-SRCC) are notified of significant changes.	yes    no	
<i>List significant design changes to certified products since last inspection.</i>		
<b>3. <u>Calibration.</u></b>  Procedures maintaining the calibration of testing, measuring and inspection equipment used for production control of the certified products are implemented.	yes    no	
<i>List evaluated devices with calibration.</i>		
<b>4. <u>Finished Product Inspection.</u></b> Procedures for testing, inspection and/or acceptance of final product are implemented.	yes    no	

*Part A Remarks:*

*Part A Non-Conformities and Opportunities for Improvement:*

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**Part B: Incoming Goods Checks**

Confirm implementation of incoming goods and materials inspections of incoming goods and materials are conducted in accordance with the policies and procedures reviewed in Part A. Applies to goods and materials inspected in a factory location for a production line and for inspections occurring in the field for a field assembly and installation.

TOPIC	EFFECTIVELY IMPLEMENTED?	NOTES
1. Incoming materials and goods are inspected in accordance with manufacturer procedures.	yes no	
2. Results of incoming goods inspections are recorded.	yes no	
3. Any test equipment or measurement devices are present and are labeled with calibration marking.	yes no	
4. Instructions are readily available for personnel conducting inspections.	yes no	

*Part B Remarks:*

*Part B Non-Conformities and Opportunities for Improvement:*

**Part C: IMPLEMENTATION OF QUALITY SYSTEM IN PRODUCTION PROCESSES**

Evaluate the location(s) where any onsite manufacturing activities for the certified products are conducted and verify compliance with quality policies and procedures identified in Part A. If the production line is not operating, the inspector should review recent past production records to assess compliance with the items listed below. For products that are field-assembled, documentation or some other evidence must be provided to demonstrate compliance with Quality System requirements as listed below.

TOPIC	EFFECTIVELY IMPLEMENTED?	NOTES
1. Instructions for the proper production and/or assembly of the certified products are readily available for personnel.	yes no	
2. Any devices used for quality checks conducted during production and/or assembly are present or readily available to responsible personnel. If calibrated, they are labeled in accordance with the requirements in Part A.	yes no NA	
3. Results of production/assembly quality checks are recorded and retained in accordance with policies reviewed in Part A.	yes no	
4. Non-conforming products are marked, segregated, or otherwise controlled as specified in policies reviewed in Part A.	yes no	
5. Finished products are handled, packaged, and stored to prevent damage or deterioration as specified in policies reviewed in Part A.	yes no NA	
6. For onsite production facilities, was the production line in operation at the time of inspection?	yes no NA	

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Part C Remarks:

Part C Non-Conformities and Opportunities for Improvement:

### Part D: Traceability Study

One certified product model is selected for additional review (audit). Design control measures must be implemented to document and maintain the specifications and design of all components, sub-assemblies, and final assembly of the selected certified product. Product labeling must be implemented in accordance with ICC-SRCC requirements.

*Evaluate the application of design control and labeling measures by selecting one certified product from the list in Section 2. The product to be evaluated may be specified by ICC-SRCC in advance. If not specified, the inspector should select a certified product at random. Where possible, the inspector should assess a different product from those assessed in previous inspections. Identify the product selected for evaluation below. List all assessed documents here and in Appendix B if more space is required.*

ASSESSED PRODUCT MODEL NAME/NO.	ICC-SRCC CERTIFICATION NO.	CERTIFICATION TYPE
		OG-100 OG-300 OG-400 Listing

TOPIC	COMPLIANT?	NOTES
<b>1. Design Control.</b> Specifications for the products are documented and maintained for the selected product. Includes: <ul style="list-style-type: none"> <li>Material specifications for custom manufactured components</li> <li>Manufactured component design drawings</li> <li>BOM/Parts List including manufactured and off-the-shelf components and subassemblies.</li> <li>Assembly drawings (OG-100) and system schematics and/or drawings (OG-300, OG-400)</li> </ul>	yes no	
<b>2. Change Management.</b> List all recorded changes to the product design or specifications over the last 24 months. <p><i>If it is noted that any changes have been made that were not reported to ICC-SRCC, note the document name/number showing the change.</i></p>	yes no	
<b>3. Manual.</b> Manuals addressing installation and operation of the product are available and up to date. <p><i>List the manuals with the documents in the table below. If manuals have been revised in the last 24 months, obtain a copy and submit with this report.</i></p>	yes no	
<b>4. Labeling.</b> Product is labeled in accordance with the program requirements. <p><i>Provide examples/photos of product marking/labels showing SRCC certification mark for solar thermal products. OG-100 collectors must be labeled on the product. OG-300 and OG-400 labels are field-applied. Product marking not required for small wind turbines. See <a href="#">ICC-SRCC Rules for Mark and Certificate Use</a> for more information.</i></p>	yes no	