ECS European Certification System	PERMANENT DOCUMENT	CIG 023

Factory Inspection Report

WARNING:
THIS DOCUMENT IS ONLY VALID IF USED BY ECS MEMBERS
AND THEIR AUTHORISED AGENTS

Approved by:	ECS General Meeting, 22/23-04-2009	Nr of pages: 19
Date of issue:	May 2009	
Supersedes:	PD CIG 023 - June 2004	Page 1 of 19

EEPCA, the European Electrical Products Certification Association
142, rue du Faubourg Saint-Denis – F-75010 Paris – Tel/fax: +33 140373563 – Email: secretariat@eepca.org
Document issued and distributed by EEPCA

PD CIG 023 reports shall not contain any unauthorised modifications which change the original meaning or the requirements.
Any additions created to any document in the series shall be shown in an Appendix.

This document contains:

- two cover pages
- a report form of 19 pages
- Inspector's Evaluation – Findings
- Inspector's Evaluation - Informative
- TEST DATA SHEET- Product Verification Test
- TEST DATA SHEET Routine Tests
- IDENTIFICATION OF SELECTED SAMPLE

FACTORY INSPECTION REPORT

Inspection carried out by (Name of Inspection Body): Intertek Testing Services Taiwan Ltd.

Reference number of the Body carrying out the inspection: ETL EU4002350S130004-01A-2013-06-18
ETL EU4002350S130007-01A-2013-06-18

– *For page control, please write this number in the header of each page (including the attachments)*

GENERAL GUIDANCE

– *The questions of this factory inspection report are based on the requirements given in Permanent Document CIG 021.*
– *Guidance for the inspector is given in Permanent Document CIG 024.*
– *Both documents, PD CIG 021 and PD CIG 024 shall be taken into account during inspection.*
– *Instructions to the Inspector are shown in italics*
– *The report shall be completed even if there is no production at the time of the visit.*
– *For all 'NO' answers details shall be provided on the INSPECTORS EVALUATION-Findings page*
– *For all 'N/A' answers rationale shall be provided as to why the item is not applicable*
– *Details should be given on INSPECTOR'S EVALUATION-Informative page.*

1.0 GENERAL INFORMATION

1.1 Manufacturer's registered name and factory location

Manufacturer's registered name:	AU Optronics Corporation.
Street address of the factory and Number:	No. 1,Jhongke Rd,Central Taiwan Science Park.
Postal code:	40763
City:	Taichung
County:	Taiwan(R.O.C.)
Country:	
GPS-coordinates: (optional)	

1.2 Manufacturer's representative name and contact data

Manufacturer's representative name:	Kyle Wang(王凱凡)
Position:	Quality Engineering Dept.
Position:	Senior Engineer
Telephone:	886-4-2460-8899 #3367
Fax:	886-4-2460-8077
E-Mail:	Kyle.Wang@auo.com

1.3 Record below the names and position held of the main people involved in the inspection

☒ same as mentioned under 1.2

If not the same as mentioned under 1.2 please give details

Name:	
Position:	
Telephone:	
Fax:	
E-Mail:	

1.4	☐ Pre-Licence	☒ Routine	☐ ENEC
	☐ HAR	☐ EMC	Others:

	YES	N/A	NO
1.5 <u>Pre-Licence only</u>: Is the information given in the Questionnaire CIG 022 Section B accurate and complete? *If 'no', amend the Questionnaire as appropriate and attach a copy to this report.*	☐	☒	☐

1.6 Inspection Details:

Certification Body requesting inspection	Inspection X of Y	File Reference No.	Product Category	Type of Product
Intertek-ETL EU	2Q 13	4002350-777		Mono/ Poly Crystalline Silicon Terrestrial Photovoltaic Module
Intertek-ETL EU	1 of 1	4002350S130004-01A	61730 61215	Mono Crystalline Silicon Terrestrial Photovoltaic Module
Intertek-ETL EU	1 of 1	4002350S130007-01A	61730 61215	Poly Crystalline Silicon Terrestrial Photovoltaic Module

1.7

Name of Inspector Kevin Chiang Date of inspection: 2013-06-18

(YYYY – MM – DD)

2	**Verification of purchased components and materials which have a safety implication on the certified product (Incoming Inspection)**			
2.1	Are materials, components and sub-assemblies verified by the manufacturer as complying with appropriate specification?	YES ☒	N/A ☐	NO ☐
2.2	Does this verification also include the verification of the Certification Marks?	YES ☒	N/A ☐	NO ☐
Description of procedure (one or more boxes may be ticked) ☐ Rely on suppliers' out-going inspection / Suppliers' quality plan ☐ Audit conducted at the suppliers' premises ☐ Supplier control based on manufacturers' check list ☒ Conduct own incoming inspection ☒ Identification check ☒ Checked for correct type ☒ Comparison to a reference ☒ Rating ☒ Certification mark ☒ Certificate of conformity ☐ Others ☐ Details given on INSPECTOR'S EVALUATION-Informative page				
Description of the procedure or ref. of documented procedure & revision or issue date: AUOQP-10-001 Version:28 ,01/ 03/2012 **incoming inspection SOP** ☐ Details are given on INSPECTOR'S EVALUATION-Informative page.				
2.3	If the manufacturer relies on Certificates of Conformity, do they clearly identify the product, quantity of items covered, the specification to which the products conform, the production date and are they properly issued?	YES ☒	N/A ☐	NO ☐
2.4	Is there a procedure covering the way to handle non-conforming components and materials?	YES ☒	N/A ☐	NO ☐
Description of the procedure or ref. of documented procedure & revision or issue date: AUOQP-13-009 Version:0 ,31/ 03/2010**nonconforming finish products Control** ☐ Details are given on INSPECTOR'S EVALUATION-Informative page.				
2.5	Is the procedure and the way in which it is applied satisfactory? (e.g.: components and materials clearly identified and/or segregated to prevent unauthorised use?)	YES ☒	N/A ☐	NO ☐
2.6	Are records of the incoming inspection maintained and satisfactory?	YES ☒	N/A ☐	NO ☐
2.7	Are records kept at least for the period between two inspection visits?	YES ☒	N/A ☐	NO ☐

3	**Production Control, Inspection and Routine Tests**			
3.1	Are the Quality Assurance and manufacturing Personnel adequately briefed on their duties?	YES ☒	N/A ☐	NO ☐
3.2	Do they have readily available up-to-date documents, manufacturing and test instructions, photographs, drawings or samples on all those parts which have an impact on the safety of the finished products?	YES ☒	N/A ☐	NO ☐
3.3	Is there evidence that the production process ensures that the final product is identical to the reference version as described in clause 15.1?	YES ☒	N/A ☐	NO ☐
3.4	Is there a procedure to ensure that all products will be tested or inspected according to the manufacturer's requirements?	YES ☒	N/A ☐	NO ☐
Description of the procedure or ref. of documented procedure & revision or issue date: AUOQP-10-005 Version:4 ,24/ 11/2008**Process Control SOP** ☐Details are given on INSPECTOR'S EVALUATION-Informative page.				
3.5	Is the production process controlled at appropriate stages?	YES ☒	N/A ☐	NO ☐
3.6	Are products inspected at appropriate stages of manufacture (Production Line Inspection)?	YES ☒	N/A ☐	NO ☐
Give details of all tests and inspections performed by the manufacturer and enter in the routine test table on the TEST DATA SHEET				
3.7	Do the Routine Tests entered on the TEST DATA SHEET sufficiently cover all the Certification Bodies' requirements?	YES ☒	N/A ☐	NO ☐
3.8	Is there a procedure covering the way to handle non-conforming products?	YES ☒	N/A ☐	NO ☐
Description of the procedure or ref. of documented procedure & revision or issue date: AUOQP-13-009 Version:0 ,31/ 03/2010**nonconforming finish products Control** ☐ Details are given on INSPECTOR'S EVALUATION-Informative page.				
Procedure of handling non-conforming products (one or more boxed may be ticked) ☒ Automated segregation process ☐ Manual segregation process ☐ Non-conforming products are destroyed ☒ Non-conforming products are repaired ☐ Others (please give details) ☐ Details given on INSPECTOR'S EVALUATION-Informative page				

3.9	Is the procedure and the way in which it is applied satisfactory? (e.g. non-conforming products clearly identified or segregated to prevent unauthorised use?)	YES ☒	N/A ☐	NO ☐
3.10	Are repaired and reworked (corrected) items **again** subjected to appropriate tests/inspections in accordance with procedures?	YES ☒	N/A ☐	NO ☐
Description of the procedure or ref. of documented procedure & revision or issue date: POLSD-13-015 Version:3 ,22/ 09/2011 **Rework Products inspection SOP** ☐ Details are given on INSPECTOR'S EVALUATION-Informative page.				
3.11	Are test records of the routine tests maintained and satisfactory?	YES ☒	N/A ☐	NO ☐
3.12	Are records kept at least for the period between two inspection visits?	YES ☒	N/A ☐	NO ☐

4	**Functional Check on Test and Measuring Equipment used for Safety Tests** (Dummy Test)			
4.1	Is there a procedure describing how the functional checks shall be conducted? ☒ Automated process ☐ Manual process	YES ☒	N/A ☐	NO ☐
Description of the procedure or ref. of documented procedure & revision or issue date: POLSD-09-003 Version:7 ,04/ 05/2012**Hi-Pot tester manual** ☐ Details are given on INSPECTOR'S EVALUATION-Informative page.				
4.2	Is there evidence that the functional check of the equipment is conducted properly, even if certified products were not in production?	YES ☒	N/A ☐	NO ☐
4.3	Is a functional check conducted with intervals which will allow previous production to be retested if incorrect functioning is detected before it leaves the factory?	YES ☒	N/A ☐	NO ☐
4.4	Is the proper function of the test equipment verified with a simulated failure (dummy) or by other equivalent means? ☒ simulated failure (dummy) ☒ Test procedure according to the equipment manual ☐ Internal self test; test program included in equipment certification ☐ Internal self test; verified by the inspector	YES ☒	N/A ☐	NO ☐
4.5	Is there evidence that the simulated failure (dummy) (if used) represents the tripping limits?	YES ☒	N/A ☐	NO ☐

4.6	Is there a procedure requiring appropriate actions to be taken by the operator if a functional check is found to be unsatisfactory?	YES ☒	N/A ☐	NO ☐

Description of the procedure or ref. of documented procedure & revision or issue date: AUOQP-42-001 Version:22 ,25/ 03/2013**Equipment Calibration SOP**
☐ Details are given on INSPECTOR'S EVALUATION-Informative page.

4.7	Is this procedure appropriate to ensure that improperly checked products are re-tested?	YES ☒	N/A ☐	NO ☐
4.8	Are subsequent corrective actions taken recorded in all cases?	YES ☒	N/A ☐	NO ☐
4.9	Are the test records of results of functioning checks of test and measuring equipment maintained and satisfactory?	YES ☒	N/A ☐	NO ☐
4.10	Are records kept at least for the period between two inspection visits?	YES ☒	N/A ☐	NO ☐

5 Products seen in Production during visit

Identify type number and any certification mark that appeared on products seen in production at the time of the visit. If no certified products were seen, indicate what kinds of products were manufactured at the time of visit.
The manufacturing process should nevertheless be examined.
At least one kind of product per product category and electrical insulation class shall be listed.
☒ No production
☐ Production seen
Complete TEST DATA SHEET for each kind of product per product category and electrical insulation class even if there is no production.

6 Calibration of Safety Test and Measuring Equipment

6.1	Is test and measuring equipment used calibrated or verified?	YES ☒	N/A ☐	NO ☐

(several boxes may be ticked)
☒ **Verification** done by the manufacturer by means of calibrated reference equipment
☐ **Calibration** done by:
- ☐ Laboratory accredited according to ISO/IEC 17025
- ☐ Test equipment manufacturer/supplier
- ☐ National metrology institute

☐ Other (please provide details):

Provide details for at least one electrical measuring equipment: Kind of equipment: High Voltage Meter Type reference: KIKUSUI/TOS9201/PL002029/E-01-07-1021 Calibration reference number: Date of last calibration: 2013 October 25 Calibration due date: 2014 October 25				
6.2	Is **reference equipment** (used for verification) calibrated?	YES ☒	N/A ☐	NO ☐
(several boxes may be ticked) Calibration of reference equipment done by: ☒ Laboratory accredited according to ISO/IEC 17025 ☐ Test equipment manufacturer/supplier ☐ National metrology institute ☐ Other (please provide details):				
6.3	Is the equipment provided with a label or similar indicating the next calibration/verification due date?	YES ☒	N/A ☐	NO ☐
6.4	Do the calibration/verification records indicate that calibration is traceable to national/international standards of measurement?	YES ☒	N/A ☐	NO ☐
6.5	Are the records for calibration/verification of test and measuring equipment maintained and satisfactory?	YES ☒	N/A ☐	NO ☐
6.6	Are records kept at least for the period between two inspection visits?	YES ☒	N/A ☐	NO ☐

7	**Handling and Storage**			
7.1	Are the components and materials to be used for production stored and handled in such a way as to ensure that they will continue to comply with the applicable standards?	YES ☒	N/A ☐	NO ☐
7.2	Are the finished products stored and handled in such a way as to ensure that they will continue to comply with the applicable standards?	YES ☒	N/A ☐	NO ☐

8 Product Verification Tests / Periodic Tests (PVT)			
8.1 Are required PVT conducted? (one or more boxes may be ticked) ☐ NO PVT required, all questions of this section shall be marked with 'N/A' ☒ 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 license 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.	YES ☒	N/A ☐	NO ☐
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 the Certification Body/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 instead of the TEST DATA SHEET*			
8.2 Are the tests conducted in accordance with procedures?	YES ☒	N/A ☐	NO ☐
Description of the procedure or ref. of documented procedure & revision or issue date: - ☐ Details are given on INSPECTOR'S EVALUATION-Informative page.			
8.3 Is appropriate equipment that is required for conducting tests available?	YES ☒	N/A ☐	NO ☐
8.4 Are the tests described in TEST DATA SHEET – **Product Verification Tests** in compliance with the requirements of the Certification Schemes and/or the requesting Certification Body?	YES ☒	N/A ☐	NO ☐
8.5 Is there a procedure requiring actions to be taken if PVT are found to be unsatisfactory?	YES ☒	N/A ☐	NO ☐
Description of the procedure or ref. of documented procedure & revision or issue date: AUOQP-19-009 Version:1 ,03/ 08/2011 **Customer complaint SOP** ☐ Details are given on INSPECTOR'S EVALUATION-Informative page.			
8.6 Are the records of product verification tests maintained and satisfactory?	YES ☒	N/A ☐	NO ☐
8.7 Are records kept at least for the period between two inspection visits?	YES ☒	N/A ☐	NO ☐

9	Void

10	Corrective actions in response to inspector's evaluation			
If there were any unsatisfactory findings entered in the previous inspection report, have these been corrected?		YES ☐	N/A ☒	NO ☐
Provide details of each unsatisfactory finding and how each has been resolved				

11 Quality Management System

If the manufacturer has a Quality Management System certified or assessed by an accredited Body, provide details of QMS standard, scope, name of certification body and certificate expiry date.
or provide copy of the certificate.

☐ Quality Management System NOT certified
☒ Quality Management System certified by an accredited Body
☐ Quality Management System certified by a non accredited Body
☐ Copy of the certificate provided as appendix to this report

Details of QMS standard: ISO9001:2008
Does the scope covers the production of the certified product: ☒ YES ☐ NO
Name of certification body: UL DQS Inc.
Certificate no.: 20000235 QM08
Certificate issued date: 2011-12-19
Certificate expiry date: 2014-12-18

12	Manufacturer's self assessment of the manufacturing- and control process of certified products (Former: Audits of the Quality System)			
12.1	Does the manufacturer regularly check that all procedures as required by the Certification Body(ies) and the harmonised inspection scheme (PD CIG 021) are followed?	YES ☒	N/A ☐	NO ☐
12.2	Are records regarding results and actions taken available? *Note: The use of PD CIG 023 to document the results of the self assessment is acceptable*	YES ☒	N/A ☐	NO ☐
12.3	Are the personnel carrying out above required checks appropriately trained and independent of the process being assessed?	YES ☒	N/A ☐	NO ☐

13	Void

14	**Customer Complaints**			
The Manufacturer shall record any technical complaint regarding the certified product. The questions in this section shall be answered even if no customer complaints have been received. In this case the questions should be applied to the process				
14.1	Is there a procedure regarding how to handle customer complaints?	YES ☒	N/A ☐	NO ☐
14.2	Are the received complaints reviewed on a regular basis regarding whether they are related to single errors or system errors? ☐ Actual case checked ☒ Procedure checked	YES ☒	N/A ☐	NO ☐
14.3	Are corrective actions and decisions regarding customer complaints recorded? ☐ Actual case checked ☒ Procedure checked	YES ☒	N/A ☐	NO ☐
14.4	Is the originator of the complaint informed about the handling and the result of the complaint? ☐ Actual case checked ☒ Procedure checked	YES ☒	N/A ☐	NO ☐
14.5	Are the records of customer complaints maintained and satisfactory?	YES ☒	N/A ☐	NO ☐
14.6	Are records kept at least for the period between two inspection visits?	YES ☒	N/A ☐	NO ☐

15	**Changes to Certified Products**			
15.1	Is reference about the certified version available? (one or more boxes may be ticked) ☒ Set of drawings ☒ Parts list ☒ Product description ☐ Reference sample ☐ Photo-documentation ☐ Other specification (Please provide details): ☐ Details are given on INSPECTOR'S EVALUATION-Informative page.	YES ☒	N/A ☐	NO ☐
15.2	Is this reference under control of the licence holder?	YES ☒	N/A ☐	NO ☐

	YES	N/A	NO
15.3 Is there a procedure ensuring that no changes to the construction of certified products will be implemented prior to acceptance by the License Holder?	☒	☐	☐
Description of the procedure or ref. of documented procedure & revision or issue date: AUOQP-09-009 Version:2 ,22/ 05/2013 **ECN SOP** ☐ Details are given on INSPECTOR'S EVALUATION-Informative page.			
15.4 If the manufacturer is also the licence holder: Is there a procedure ensuring that constructional changes of the certified product will be made only after approval by the Certification Body?	☒	☐	☐
Description of the procedure or ref. of documented procedure & revision or issue date: ☐ Details are given on INSPECTOR'S EVALUATION-Informative page.			
15.5 Are any changes made to the certified version since the last inspection? ☒ no changes *according to the information from the manufacturer* ☐ changes authorised by the license holder	☐	☒	☐

16 Selection and Shipping of Re-Examination Sample(s)

Regarding samples requested by the Certification Body(ies) please refer to the table IDENTIFICATION OF SELECTED SAMPLES and enter details as appropriate

16.1 Please give reasons why no samples were selected during the inspection:
(one or more boxes may be ticked)
☒ None required by the certification body:
☐ No production, no stock:
☐ Build to clients' order
☐ No access to warehouse
☐ Warehouse not at manufacturer's location
☐ Manufacturer has been instructed to send re-examination samples:
☐ Others (Please provide details):
☐ Details are given on INSPECTOR'S EVALUATION-Informative page

16.2 If the selected sample(s) do not bear the Certification Mark 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 bodies certification list
☐ 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.

17	Inspector's Evaluation		
17.1	*List your findings on the INSPECTORS EVALUATION – Findings page(s) by referencing the applicable clauses in this report (including comments, recommendations, etc.) and explain them to the manufacturer.* *If possible indicate also the corrective actions the manufacturer intends to take.*		
17.2	*Give your recommendations by ticking the appropriate box*		
1	No unsatisfactory findings.	**Grant or continue certification.**	☑
2	Minor unsatisfactory finding(s).	**Manufacturer's corrective action(s) will be checked at next visit. Grant or continue certification.**	☐
3	Major unsatisfactory finding(s). Safety not directly affected.	**Manufacturer shall confirm corrective action(s). Grant or continue certification.** Special or early routine inspection recommended for checking corrective action(s).	☐
4	Critical unsatisfactory finding(s), **Safety directly affected.**	**Certification refused/suspended and repeated factory inspection recommended after the manufacturer has confirmed implementation of corrective action(s).**	☐
17.3	Attachments: *For page control, please write the reference number in the header of each attachment page.* PD CIG 023 - Signature page — No. of pages: 1 ENEC Appendix to PD CIG 023 — No. of pages: Copy of Quality Management Certificate — No. of pages: 3 Others — No. of pages: Total no. of pages of this report including all attachment pages:		

A copy of this report shall be provided to the undersigned contact person who should be aware of the contents and sign for its receipt.

☑ Printed copy provided
☐ Electronic copy provided

Inspection duration: 4.5 hours. Arrive time: 0930 Departure time: 1400

The responsibility for ensuring that a product is manufactured in accordance with the standard to which it was originally approved rests with the licence holder

Date: June 18, 2013	Date: June 18, 2013
Inspector's name (printed letters): Kevin Chiang	Contact person's name (printed letters): Kyle Wang 王凱元
Signature: Kevin Chiang	Signature: Kyle Wang

☐ For signature see attached signature page

Inspector's Evaluation

=Related paragraph number of this report:	**Findings** Inspector's points requiring corrective action from the manufacturer *Use separate Supplementary Page for different Certification Bodies if necessary*
17.1	No unsatisfactory founding

Inspector's Evaluation

Informative Use separate Supplementary Page for different Certification Bodies if necessary
1. The reason for "N/A"
a. item no.1.5 :This is a routine inspection.
b. item no. 10: No unsatisfactory founding in last inspection.
2. Item no .16.2: It's not required for sample selection. So, it's no answer for this item.

TEST DATA SHEET - Product Verification Tests / Periodic Tests (PVT)

CB	Product, Sampling rate, Standards Clause or Test-parameters, Results
Intertek-ETL EU	According to ETL EU requirement EN61730,EN61215 the factory conducted PVT once per year.

Reference number of the body carrying out the inspection:

TEST DATA SHEET - Routine Tests

☒ No production	
☐ Production seen	Certification mark: Intertek-ETL EU
Product Category (e.g. HOUS): 61730 61215	Kind of product (e.g. vacuum cleaner): Mono/ Poly Crystalline Silicon Terrestrial Photovoltaic Module
Type number: PM245P00	Electrical Insulation Class: II
Rated voltage: 600V/1000V Max.System voltage (UL / IEC)	

TESTS		% check	Test value applied	Time	Factory limits applied:	Failure indicated by	Remarks	W / R
a	Earth continuity	100	V 2.5 A 15	120 s	0.1Ohm (max.)	Instrument ,Lamp buzer		R
b	Insulation resistance	100	300V d.c.	120 s	40 MOhm (min.)	Instrument ,Lamp buzer		R
c	Leakage current	100	1000 V		1 mA (max.)	Instrument ,Lamp buzer		R
Dielectric strength	Basic insulation	100	3000 V	60 s	0 mA (max.)	Instrument ,Lamp buzer		R
Dielectric strength	Supplementary insulation		V	s	mA (max.)			
Dielectric strength	Reinforced insulation		V	s	mA (max.)			
e	Load deviation							
f	Functional test	100				appearance		R

e Indicate method used (hot/cold, at mains voltage, low voltage resistance check, etc.).
f Are all controls and components checked during the test ?
W Test witnessed by the inspector, R = according to records

Reference number of the body carrying out the inspection:

IDENTIFICATION OF SELECTED SAMPLES		**at manufacturer**::			date	
Selected for	Label No.	Quantity	Product/Type/Technical data	Licence No.	Production period	Code letters
						☐P ☐F ☐S ☐T ☐A
						☐P ☐F ☐S ☐T ☐A
						☐P ☐F ☐S ☐T ☐A
						☐P ☐F ☐S ☐T ☐A
						☐P ☐F ☐S ☐T ☐A
						☐P ☐F ☐S ☐T ☐A
						☐P ☐F ☐S ☐T ☐A

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

CERTIFICATE

This is to certify that

AU Optronics Corp.

No. 1, Li-Hsin Rd. 2, Hsinchu Science Park, Hsinchu 300, Taiwan, R.O.C.

with the organizational units/sites as listed in the annex

has implemented and maintains a **Quality Management System**.

Scope:
The design and manufacture of flat panel displays, solar cells and photovoltaic modules.

Through an audit, documented in a report, it was verified that the management system fulfills the requirements of the following standard:

ISO 9001 : 2008

Certificate registration no.	20000235 QM08
Main certification No.	20000235 QM08
Date of original certification	2003-05-23
Date of revision	2013-01-26
Date of certification	2011-12-19
Valid until	2014-12-18

UL DQS Inc.

Ganesh Rao
President

Accredited Body: UL DQS Inc., 1130 West Lake Cook Road, Suite 340, Buffalo Grove, IL 60089 USA
Issuing Office: UL DQS Taiwan Inc., 8F, 23, Yuan Huan West Road, Feng Yuan Dist.,
Taichung City, Taiwan 420

Annex to Certificate
Registration No. 20000235 QM08
Main certification No. 20000235 QM08

AU Optronics Corp.

No. 1, Li-Hsin Rd. 2, Hsinchu Science Park, Hsinchu 300, Taiwan, R.O.C.

Company Name	Location	Function
AU Optronics Corp. Ref. No.: 20000235	No. 1, Li-Hsin Rd. 2, Hsinchu Science Park Hsinchu 300, Taiwan, R.O.C.	Sales & marketing, product design and management review.
AU Optronics Corp. Ref. No.: 20000233	No. 5, Li-Hsin Rd. 6, Hsinchu Science Park, Hsinchu 300 Taiwan, R.O.C.	The design and manufacture of flat panel displays.
AU Optronics Corp. Ref. No.: 20000234	No. 23, Li-Hsin Rd., Hsinchu Science Park, Hsinchu, 300, Taiwan, R.O.C.	The design and manufacture of flat panel displays.
AU Optronics Corp. Ref. No.: 20000236	No. 1, Xinhe Rd., Aspire Park Lungtan 325, Taoyuan Taiwan, R.O.C.	The design and manufacture of flat panel displays.
AU Optronics Corp. Ref. No.: 20000232	No. 1, JhongKe Rd., Central Taiwan Science Park Taichung, 407 Taiwan, R.O.C.	The design and manufacture of flat panel displays, solar cells and photovoltaic modules.
AU Optronics Corp. Ref. No.: 20000238	No. 189, Hwa Ya Rd. 2, Kuei Shan 333, Taoyuan Taiwan, R.O.C.	The design and manufacture of flat panel displays.
AU Optronics Corp. Ref. No.: 20000239	No. 228, Longke St. Longtan 325, Taoyuan, Taiwan, R.O.C.	The design and manufacture of flat panel displays.
AU Optronics (Shanghai) Corp. Ref. No.: 20000229	No. 3, Ln 58, San-Zhuang Road, Songjiang Export Processing Zone Shanghai, 201613 China	The manufacture of flat panel displays.
AU Optronics (Suzhou) Corp. Ref. No.: 20000230	No. 398, Suhong Zhong Road Suzhou Industrial Park Chiang Su Province, 215021 China	The manufacture of flat panel displays.
AU Optronics (Xiamen) Corp. Ref. No.: 20000231	No. 1689, Xiang'An North Road Xiang'An Branch, Torch Hi-tech Industrial Development Zone, Xiamen, 361102, China	The manufacture of flat panel displays.

This annex(2013-01-26) is only valid in connection with the above-mentioned certificate.

2013-06-18 12:07:47 | 1102059

Annex to Certificate
Registration No. 20000235 QM08
Main certification No. 20000235 QM08

AU Optronics Corp.

No. 1, Li-Hsin Rd. 2, Hsinchu Science Park, Hsinchu 300, Taiwan, R.O.C.

Company Name	Location	Function
AU Optronics Corp. AFPD Pte., Ltd. (Singapore) Ref. No.: 20006394	10 Tampines Industrial Avenue 3, Singapore 528798	The design and manufacture of flat panel displays.
AU Optronics (Czech) s.r.o. Ref. No.: 20004078	Tuřanka 856/98b & 858/98a Slatina, 627 00 Brno, Czech Republic	The design and manufacture of photovoltaic modules.
AU Optronics (Slovakia) s.r.o Ref. No.: 20006395	Bratislavská 517, Trenčín 911 05, Slovak Republic	The design and manufacture of flat panel displays.
AU Optronics Corp. Ref. No.: 20006396	No. 1, Machang Rd., Houli Dist, Central Taiwan Science Park, Taichung City 42147, Taiwan, R.O.C.	The design and manufacture of flat panel displays.

This annex(2013-01-26) is only valid in connection with the above-mentioned certificate.

165 Main Street
Cortland, NY 13045

Telephone: +1 607 753 6711
Facsimile: +1 607 756 6699
www.intertek.com

ETL FOLLOW-UP SERVICE INSPECTION REPORT

Internal Use Only
Gin # _____
Customer # _____
Invoice # _____

Manufacturer AU Optronics Corporation

Page 1 of 3

Factory Address No. 1 Jhongke Rd. Central Taiwan Science park, Taichung City 40763 Taiwan

Date 18 / 06 / 13 (Day / Month / Year)

☐1 Qtr ☑2 Qtr ☐3 Qtr ☐4 Qtr ☐IPI/IFA ☐Other

Intertek Representative Kevin Chiang

Order No. 4002350-777

Directions to Intertek Representative: Verify that products comply with all items specified in the Listing Report/CDR and that production line tests and procedures specified are being conducted. All variations should be noted on this report and conveyed by phone/fax/email to the Manager of Follow-up Service.

The following items were reviewed with the manufacturer:

a. Is use of listing label controlled?
Yes ☑ No ☐ N/A ☐

b. Labeling Method:
☐ Separable Labels (supplied by Intertek)
☑ Direct Imprint (by Client)
☐ Both

c. Are product markings per Listing Report?
Yes ☑ No ☐

d. Is production line testing required? Yes ☑ No ☐
If Yes 1) Is testing being performed as required? Yes ☑ No ☐
2) Is equipment calibrated? Yes ☑ No ☐

e. Qty of ETL labelled product shipped since last inspection 2312

f. Changes, additions, options, or accessories, etc. were made to Listed Products. Yes ☐ No ☑

g. Have changes occurred to the manufacturing process or quality system that affects Listed Products? Yes ☐ No ☑

h. Were variations noted on the last inspection? Yes ☐ No ☑
If yes, has the client responded? Yes ☐ No ☐
Have all variations been resolved? Yes ☐ No ☐
If yes, provide explanation of how variations were resolved.

i. Has the procedure or records for customer complaints/field failures been reviewed? Yes ☑ No ☐

j. Were there any reports of product failures resulting in personal injury or property damage. Yes ☐ No ☑

Letter of Explanation is required from the client for these non-compliant item numbers None

Send Variation Response Letter with a copy of this Inspection Report to Intertek, Cortland, NY, by mail, fax, or email VariationResponse.Cortland@intertek.com.

_____ Variations accepted per phone/fax communication with _____

_____ Variations NOT accepted per phone/fax communication with _____

_____ Labels removed by mfr. _____ Product held Time of Arrival: 0930 Departure: 1400

I acknowledge receipt of a copy of this inspection report issued by Intertek Testing Services NA Inc.

王凱弘 2013/06/18.
Factory Representative's Signature Date

Kevin Chiang 18 June 2013
Intertek Representative's Signature

Factory Representative's (printed name)

Continued on next page

Intertek

165 Main Street
Cortland, NY 13045

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Facsimile: + 1 607-756-6699
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ETL FOLLOW-UP SERVICE INSPECTION REPORT

Manufacturer ALI Optronics Corporation Page 2 of 3

Listing Report No. SH110 10386-001 Issue/Rev. Date 2013.05.14 Date 18 (Day) 06 (Month) 13 (Year)

Product PV Module / PM245P00-250 ☐1 Qtr ☑2 Qtr ☐3 Qtr ☐4 Qtr ☐Other

Intertek Representative Kevin Chiang Order No. 4002350-777

Page	Item	Complies	Comment
1-2		Y	
3-4		Y	
5-10	PHOTO	Y	
11	1	Y	Motech IM156B3
	2	Y	5cA11
12	3	Y	
13	4	Y	SKC EF3N
14	5	Y	Toppan, BS-SP-VW1116
	6	Y	
	7	Y	
15	8	Y	Amphenol HBHAAEBYBYAA
	9	Y	Amphenol E341118
	10	Y	Amphen.l Helios H4
16	11	Y	
	12	Y	
	13	Y	
	14	Y	HY, 155Q040D
17	15	Y	
	16	Y	B110cR

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Invoice # _____

ETL FOLLOW-UP SERVICE INSPECTION REPORT

Manufacturer AU Optronics Corporation Page 3 of 3

Listing Report No. SH1101038G-001 Issue/Rev. Date 2012.05.14 Date 18 (Day) 06 (Month) 13 (Year)

Product PV Module / PM245P00-250 ☐1 Qtr ☑2 Qtr ☐3 Qtr ☐4 Qtr ☐Other

Intertek Representative Kevin Chiang Order No. 4002350-777

Page	Item	Complies	Comment
18-50		Y	
		-	Check out this products from the warehouse.
		-	The Hi-Pot tester no. E-01-07-1023
			Calibration due date : 2013/06/19