



PROCEDURE	EWMCE GENERAL GUIDELINES TO CERTIFICATION (CSA B128.3)	Document No:	CERT 2.1
		Effective Date:	2014 05 20
		Revision Date:	2016 03 03
		Prepared By:	D. Picard
		Reviewed By:	J. Isberg

**EDMONTON WASTE MANAGEMENT
CENTRE OF EXCELLENCE**

**GENERAL
GUIDELINES TO
CERTIFICATION
(CSA B-128.3)**

Written per ISO/IEC 17065

For

Standards Council of Canada (SCC) Accreditation

Edmonton Waste Management Centre of Excellence

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Edmonton, Alberta Canada

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Updated April 2016



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1.0 SCOPE

- 1.1 EWMCE obtained Certification Body Accreditation status in 2015. This Accreditation was obtained by meeting the criteria and being in compliance with:
 - a. ISO/IEC 17065:2012 Conformity Assessment – Requirements for bodies certifying products, processes and services;
 - b. and Standards Council of Canada CAN-P-1500:2013 Additional Requirements for Accreditation of Certification Bodies.
- 1.2 EWMCE’s overall aim of certifying products, processes or services is to give confidence to all interested parties that the product, process or service fulfils specified requirements. The value of certification is the degree of confidence and trust that is established by an impartial and competent demonstration of fulfilment of specified requirements by a third party. A Certification Body is governed by ISO Standards with the following components:
 - a. testing to recognized standards;
 - b. auditing of manufacturer’s facilities; and
 - c. ongoing surveillance.

2.0 PURPOSE

- 2.1 The purpose of this guideline is to define and detail the methodology of EWMCE Certification Body’s certification activities which are compliant with ISO/IEC 17065:2012 and Standards Council of Canada CAN-P-1500:2013 which will be applied to the certification for the Canadian Safety Association (CSA) B128.3 performance of non-potable water reuse systems.
- 2.2 This document is publically available for the benefit of potential Clients seeking certification for CSA B128.3 performance of non-potable water reuse systems. Soft copies are available in English or French language on the EWMCE Website <http://www.ewmce.com> and can be provided through electronic means upon request.
- 2.3 These EWMCE General Guidelines to Certification will serve as an information document guiding potential Certification Clients through the EWMCE Certification Body activities. This document is meant as an overview and is not a legally binding document.

3.0 NORMATIVE REFERENCES

- ISO/IEC 17065:2012 Conformity Assessment – Requirements for bodies certifying products, processes and services.
- CAN-P-1500:2013 Additional requirements for Accreditation of Certifying Bodies
- ISO/IEC 17067:2013 Conformity Assessment – Fundamentals of product certification and guidelines for product certification schemes.



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ISO/IEC 17025 General requirements for the competency of testing and calibration laboratories.

CSA B128.3:12 Performance of Non-Potable Water Reuse System

4.0 DEFINITIONS

The following definitions apply for the purpose of this manual:

Applicant The Applicant is the entity requesting certification of conformity to the appropriate standards and EWMCE’s policies and procedures.

Certification Activities All activities related to an application for certification by a Client, including preparation of quotes, proposals, agreements, evaluating and testing activities, report writing, the decision regarding certification, and post-certification monitoring.

Certification Body The Certification Body is Edmonton Waste Management Centre of Excellence, the party responsible for ensuring that products meet and, if applicable, continue to meet, the requirements on which certification is based.

Certification Scheme The certification system related to specified products, to which the same specified requirements, specific rules and procedures apply. (Selection, determination, review, decision and attestation).

Certification Scope Identification of the product(s), process(es) or service(s) for which the certification is granted; the applicable certification scheme; and the standard(s) and other normative document(s), including their date of publication, to which it is judged that the product(s), process(es) or service(s) comply.

Certification System A “conformity assessment system” which is defined in the Certification Scheme.

Client An individual, company or other organization for whom EWMCE is providing or is planning to provide certification services, and includes an Applicant.

Conformity Fulfillment by a product, process or service of specified requirements.

Consultancy Involvement in the design, manufacture, installation, maintenance, marketing or distribution of a product or a service.

Deficiency Lack of a specified requirement.

Design Evaluation Systematic examination of the extent to which the design fulfills specified requirements.

Exception Limited non-compliance with applied standards and/or procedures.

Laboratory Body that calibrates and/or performs tests.



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- Non-Conformity The absence of one or more specified requirements.
- Manufacturer The distributor, supplier or other party providing the product who is responsible for assuring conformity with all requirements, particular standards or specifications; and who desires to participate in the certification program and have its product(s) certified; and has qualified and trained staff capable of handling the administrative capabilities required to provide the product; and has facilities and instrumentation adequate and appropriate for providing the product.
- Qualified Personnel Personnel that have demonstrated the capability of fulfilling specified requirements.
- Quality Manual A document stating the quality policy, quality system and quality practices, in particular as it relates to EWMCE’s Certification Activities.
- Quality Assurance Lead The functions of Quality Assurance will be undertaken by the Research Specialist, unless there is a potential conflict of interest that would require appointment of an alternate to ensure compliance with EWMCE’s policies and procedures.
- Quality Management System (QMS) The organizational structure, responsibilities, procedures, processes and resources for implementing quality management set out in 7 sections: Occupational Health and Safety; Governance; Finance and Administration; Human Resources; Quality; Certification; and Laboratory
- Standard The standard against which the Client’s product will be assessed, (example CSA B128.3).
- Supplier A company that provides products to the general public.
- Test A technical operation that consists of the determination of one or more characteristic or performance of a given product, material, equipment, organism, physical phenomenon, process or service according to a specified procedure.
- Verification Confirmation by examination and provision of evidence that specified requirements have been met.

5.0 EWMCE CERTIFICATION BODY SERVICES

- 5.1** EWMCE is a legal entity incorporated in 2003 as a not for profit company under Part 9 of the Companies Act, RSA 2000, c C-21. Its certification activities will be managed within the Wastewater Program by the Senior Wastewater Engineer.
- 5.2** EWMCE obtained Certification Body Accreditation status in 2015.
- 5.3** As a Certification Body, EWMCE will be the party responsible for ensuring that products meet and, if applicable, continue to meet, the requirements on which certification is based.

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5.4 EWMCE’s overall aim of certifying products, processes or services is to give confidence to all interested parties that the product, process or service fulfils specified requirements. The value of certification is the degree of confidence and trust that is established by an impartial and competent demonstration of fulfilment of specified requirements by a third party.

5.5 EWMCE will conduct as a Certification Body for clients seeking certification for the Standard Council of Canada B128.3 performance of non-potable water reuse systems.

5.6 EWMCE Certification Body’s key roles are supported by:

- a. EWMCE Director of Operations: Certification Body Lead & Chair, Certification Advisory Committee
- b. EWMCE Senior Wastewater Engineer: Certification Body Lead
- c. EWMCE Certification Advisory Committee: Expert technical volunteers with competency for the required Certification services
- d. EWMCE Certification Team: Qualified Technical Staff

6.0 NON-DISCRIMINATION / ACCESSIBILITY

6.1 EWMCE will not discriminate in its acceptance of Clients, administration of evaluation, or any other factor. Unless there are fundamental and demonstrated reasons for declining a Client (evidence of illegal activity, history of non-compliances, etc.), acceptance or rejection will be based solely on the relevance of the technology to the Standard and EWMCE’s area of operations and technical ability to evaluate the product.

6.2 The scope of EWMCE Certification Body services are with respect to wastewater treatment unit certification and includes certification of new products, verification of continuing compliance of certified units, ETV verification and 3rd party testing.

6.3 EWMCE’s services are available to all applicants whose activities fall within the residential black and grey wastewater treatment system industry. We will make our services available to any Client whose activities fall within the scope of our operations and the certification Standard.

6.4 We will not impede or inhibit access to certification activities by any Client or potential Client.

6.5 There are no undue financial conditions and access is not conditional upon the size of the applicant or membership of any association or group, nor is certification conditional upon the number of certificates already issued.

6.6 The wealth of a Client or other financial considerations will not apply when considering the acceptance or rejection of a Client, unless there is a demonstrable possibility that the Client would not provide payment as due.

7.0 FINANCIAL RESOURCES / SERVICE FEES

7.1 EWMCE will allow the certification activities to operate with funds from certification activities. These funds will be adequate for covering all required activities.

7.2 There are no undue financial conditions, specifically a 25% deposit is required at start-up and there in fees are invoiced on a monthly basis as services are performed.

7.3 EWMCE will charge the Client fees, disbursements and other amounts for each of the

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Certification Activities performed by EWMCE or its subcontractors as set out in the Proposal for Service and subsequent Service Agreements.

- 7.4** Fees will be based on the hourly rates of personnel conducting the work, with GST added according to law. The hourly rates will be adjusted no more than annually and the Client will be advised when an increase in hourly rates will affect the fees payable.
- 7.5** The Client will have the opportunity to review and approve the amount to be paid for each phase of the work.

8.0 EWMCE CERTIFICATION SERVICE INFORMATION

8.1 EWMCE shall provide information for public review upon request or on the company website www.ewmce.ca on the following topics and will update a minimum of every 12 months, or as necessary. Documents will include the following:

- a. EWMCE General Guidelines to Certification - CSA B128.3
- b. EWMCE Certification of Wastewater treatment Systems for Non-Potable Water Reuse Brochure
- c. Directory of EWMCE Certifications
- d. Recalls or warnings regarding potential or reported hazardous products will be immediate.
- e. Other documents as required.
- f. Website Link to Standards i.e. CSA B128.3

8.2 Upon interest in CSA B128.3 certification, a potential client will be provided an EWMCE Certification Information Package which will contain reference material in the preferred language version (English or French). Any additional information and clarification can be provided via an initial meeting or telephone call with the EWMCE Certification Body Lead(s).

8.3 CSA B128.3 Certification Information Package contains the following documents:

- a. EWMCE General Guidelines to Certification – CSA B128.3
- b. EWMCE Certification of Wastewater Treatment Systems For Non-Potable Water Reuse Brochure
- c. EWMCE Certification Application

9.0 APPLICATION SUBMISSION / SCREENING / REVIEW

9.1 Upon notification of interest to proceed with the EWMCE Certification Services, the Client will be requested to submit the EWMCE Certification Application form. The Application form requires the submission of support documents (Product Documentation) as outlined CSA B128.3 Section 6.2 - Documentation.

9.2 The EWMCE Certification Body Lead(s) and/or members of the Certification Advisory Committee will be available to the Client to clarify any inquiries.

9.3 The EWMCE Certification Body Lead(s) will do an initial screen of the application. The screening criteria will be:

- a. first and foremost to ensure impartiality between Client and EWMCE;
- b. completeness of the application content;



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- c. to validate alignment of the product with the criteria of the Standard CSA 128.3;
- d. to validate EWMCE’s capability to perform the required certification services based on the product and appropriate Standard criteria;
- e. to validate Client’s demographic and product verification information;
- f. to identify any areas of the application which require further clarification.

9.4 If through the screening process it is determined that EWMCE has no prior experience with the certification request, EWMCE shall ensure it has the competence and capability for all the certification activities it is required to undertake and it shall maintain a record of the justification for the decision to undertake the certification.

9.5 EWMCE shall decline to undertake a specific certification if it lacks any competence or capability for the certification activities it is required to undertake. A formal explanatory letter will be provided to the Client.

9.6 The Application will be reviewed by the Certification Advisory Committee to ensure first and foremost impartiality is maintained and additionally to advise on the following:

- a. The requirements for certification are clearly defined, documented and understood;
- b. Any lack of clarity is resolved;
- c. EWMCE has the capability to perform the work with respect to the scope.

10.0 CERTIFICATION PLAN

10.1 Upon the satisfaction of the application screening, EWMCE will develop a certification plan utilizing the ISO/IEC 17067:2013 Table 1 “Building a product certification scheme” as a guide.

10.2 EWMCE will contract external consultants as necessary for design reviews, testing, and information technology.

10.2.1 EWMCE’s Subcontracting Policy will be followed to ensure that sub-contracted labs or technicians are qualified to perform their necessary work.

10.2.2 EWMCE will inform all sub-contractors of any policy requirements that apply to the subcontracted work.

10.2.3 Sub-contractors used for testing services shall conform to ISO/IEC Standard 17025.

10.2.4 EWMCE shall inform the client in writing if a sub-contractor is used for any part of the evaluation or testing; and remains responsible to the customer for all work performed by sub-contractors.

10.2.5 The client will be informed in advance of any outsourcing activities and will have the opportunity to object to that engagement.

10.3 The Senior R&D Wastewater Engineer will prepare a plan for the evaluation activities including time schedule for implementation considering the availability of personnel and facilities.

10.4 The Certification Team will be established consisting of qualified EWMCE staff and/or subcontractors to carry out all aspects of the certification as required.

10.5 A review of confidentiality, impartiality, disclosure and conflict of interest will be completed with all of the certification team members assigned to the project to ensure impartiality.

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- 10.6** To ensure impartiality of conflict of interest, all selected Certification Team members (subcontracted or EWMCE employee) will declare any known prior or present association by the Employee or by the Employee’s past employer with a supplier or designer of products; a provider or developer of services; or an operator or developer of processes in any evaluation or certification in which the Employee is involved. In addition the Employee will reveal to EWMCE any situation known to them that may present themselves or EWMCE with a Conflict of Interest. Where a conflict of interest as defined exists, the individual will not be assigned to work on that Client’s technology, unless the association was two (2) years or more years prior to the Client’s current request for Certification services.
- 10.7** The EWMCE Certification Body Lead shall ensure that any personnel that may have been involved in product design or R&D will not be involved in the testing, evaluation or inspection of that product.
- 10.8** The scope of work/objectives; milestones and reporting schedule and budget which will be captured on the Proposal for Service which is Schedule A of the Product Evaluation Agreement.
- 10.9** EWMCE shall inform the Client of any deviations from the established certification schedule.
- 11.0 CERTIFICATION SERVICE ACTIVATION**
- 11.1** The Client will be sent a “EWMCE Product Evaluation Agreement” package consisting of the following documents:
- a. EWMCE Applicant/Client Acceptance Letter - providing instructions on required response with an identified submission deadline date.
- 11.2** Product Evaluation Agreement including Schedule A - Proposal for Services; Schedule B – Fees, Disbursements.
- 11.3** The Client may at this time request further clarifications and if required and agreed upon by the 2 parties, adjustments can be made at this time. Amended documents will be sent to the Client with a revised submission deadline date.
- 11.4** Upon agreement, the Client will submit the signed Product Evaluation Agreement along with the identified payment fees as set out in the Schedule B - Fees, Disbursements and Payment.
- 11.5** Upon receipt, the document and fees will be reviewed by EWMCE Finance Department and the Executive Director. Upon satisfaction, the Executive Director will sign off on the Agreement and the EWMCE Certification Body Lead will correspond with the Client that the Certification Services are set to commence. A fully executed copy of the Product Evaluation Agreement will be sent to the Client.
- 11.6** At this point the Senior WW Engineer will assign a Certification Team Lead from the assigned Certification Team. At this point the EWMCE Certification Body Lead will remove him/herself from the evaluation and testing phase of the services.
- 11.7** The Certification Team Lead will communicate all progress to the Senior Wastewater Engineer who will be the point of contact with the Client and will communicate progress on a regular basis.



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12.0 EVALUATION / TESTING

12.1 EWMCE will evaluate the products of the Client against the current Standard as defined in its application against all certification criteria specified in the rules of the specified Standard.

12.2 EWMCE Certification Team will utilize the CSA 128.3 for all evaluation requirements following accepted best practices for sampling, testing, recording and analyzing data, inspection, audit and other related tasks. Other standards will also be followed as required.

12.3 The EWMCE Certification Team will conduct all activities and report data and test results impartially.

12.4 EWMCE will use only accredited labs when analysis beyond the scope of EWMCE is required.

12.5 If EWMCE relies on certifications it has already granted to the Client, or has already granted to other Clients, to omit any activities, the EWMCE shall reference the existing certification(s) in its records. If requested by the Client, EWMCE shall provide justification for omission of activities.

12.6 All non-conformities noted by EWMCE shall be reported to the Client and their resolution documented in the evaluation report (see below).

12.7 EWMCE reporting procedures will comply with the requirements of the specific Standard and, at a minimum, will include the following:

- a. Personnel appointed to evaluate the conformance of the products provide the Certification Advisory Committee with a report of findings as to the conformity with all the certification requirements;
- b. A full report on the outcome of the evaluation will promptly be brought to the Client’s attention and will identifying any non-conformity that has to be discharged to comply with all the certification requirements and the extent of further evaluation or testing required. If the Client can show that remedial action has been taken to meet all the requirements within a specified time limit, EWMCE will repeat only the necessary parts of the initial procedure;
- c. A copy of the Evaluation Report will be placed in the client’s file;
- d. Data from the evaluation will be provided to the Client upon request, unless there is a legal reason to refrain from doing so.

12.8 If the Client wishes to provide existing data to be used in the evaluation, EWMCE is at liberty to accept or refuse to use the data, with its decision made impartially on the basis of the qualifications of the organization providing the data (ISO certification etc.).

12.9 Effluent Quality will be evaluated based on CSA B128.3-5.9.1 General. Steady-state operation three-strikes rule and Stress event operation repeat test rule will be considered if applicable.

12.10 Upon completion of the Evaluation phase, the EWMCE Certification Team will compile the test reports according to CSA B128.3 Clause 5.15 Test Report.

12.11 Test results will be communicated to the Client once evaluation has been completed and a test report will be given to the Client. Test result content will align with CSA B128.3

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requirements.

- 12.12** Test reports will indicate failures as identified in CSA B128.3 Section 5.16 (Specimen Failures; Test Facility Failures; Test Continuation or Restart).
- 12.13** Test Outcomes and Actions are defined in CSA B128.3 Clause 5.16.4 Table 3.
- 12.14** Test Outcome - Failure to meet reclaimed water quality requirements specified in Table 2 of B128.3. Action – Rejection indicates that the EWMCE Certification Services is considered closed. In the event of failure, the client will be asked to provide written instructions to EWMCE regarding whether or not the testing should be repeated, and if so, any associated costs are to the Client.
- 12.15** Test Outcome Pass will initiate the Pending Certification On-Site Audit phase.
- 12.16** **Pending Certification On-site Audit** will be conducted before certification is granted. It will review the relevant elements of the Client’s management system: documents, records, and procedures that affect the conformity of the Client’s product or technology. The purpose of the audit will be to verify that the Client will continue to produce its technology to conform with requirements of the Standard. Each unit of the Client’s technology must be produced in the same manner as the unit that was evaluated and certified. The auditor will also observe the Client’s processes and assess whether the relevant processes are working as described in the Client’s documentation.
- 12.17** If the Client is not able to satisfy that the production will continue to meet the required Standard, EWMCE will not recommend certification. The Client may request a second audit by EWMCE or by another audit firm at the Client’s cost.
- 12.18** Once the pending certification audit has been successfully completed and satisfied, the Client’s product will be recommended for certification.
- 12.19** Once Certification has been granted there will be a requirement for subsequent surveillance audits which will be scheduled and outlined in the Product Certification Agreement.

13.0 REVIEW

- 13.1** The evaluation, test reports and on-site audit results will be compiled by the Certification Team Lead who will forward onto the Senior Wastewater Engineer. The Certification Advisory Committee will be engaged to review the results.
- 13.2** If the review results in any discrepancies or request for clarifications, these will be documented and returned to the Senior Wastewater Engineer for addressing.
- 13.3** The recommendation to grant certification will be based solely on whether or not the technology has met the requirements of the standard.

14.0 CERTIFICATION DECISION

- 14.1** EWMCE shall make decisions on certification based exclusively on the information gathered during the evaluation process and any other relevant information as determined exclusively by EWMCE.
- 14.2** The recommendation will be forwarded to the Senior Wastewater Engineer for final review and approval.



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- 14.3** EWMCE is solely responsible for its decisions to grant, maintain, extend, suspend or withdraw certificates; however, EWMCE will utilize the volunteer services of the EWMCE Certification Advisory Committee at the Application and Recommendation stages of the product evaluation.
- 14.4** The Client will be informed in writing of the final certification recommendation.
- 14.5** A declined certification decision will have full justification provided to the Client supporting that decision. The Client can at this time express an interest in reinstating the EWMCE Certification Service. Commencement will be at the Evaluation/Test stage with associated costs to be determined through the Proposal for Service process.
- 14.6** The certification granting notification will be accompanied with an invite to the Client to enter into a Product Certification Agreement.
- 14.7** The Product Certification Agreement will outline the Certification requirements in the following areas but are not limited to this list:
 - a. Term of the Certification
 - b. Issuance of the Certification of Conformity
 - c. Permission and Use of the Certification Mark
 - d. Surveillance Schedule
 - e. Fees, Disbursements and Payments
- 15.0 SURVEILLANCE AUDITS**
- 15.1 Annual Certification compliance audits** determine the continuing compliance by the Client with the certificate standards. The certification audit schedules are outlined in the Product Certification Agreement and on the Certificate of Conformity.
- 15.2** The Clients' certification is maintained only upon the basis of successful surveillance audits.
- 15.3** EWMCE will ensure that the surveillance audit requirements of ISO 17065 and EWMCE's certification scheme are met through the use of qualified EWMCE employees and through the outsourcing of audit activities as required.
- 15.4** EWMCE will only outsource an Inspection Service that:
 - a. is accredited under ISO 17020 to perform audits; or
 - b. is accredited by SCC or by an agency that is part of the organization that is a signatory to the *ILAC Mutual Recognition Agreements* for inspection bodies.
- 15.5** The inspector will visit the facility in the presence of the Client and conduct an audit. The inspector will need to have access to all records, product literature, on-site tanks, personnel and all other areas of the facility relevant to the certification, other than where safety does not permit. The inspector will prepare an inspection plan in advance to guide the process.
- 15.6** If an Inspection Service is used to conduct a surveillance audit, EWMCE will supply one or more qualified technical assistants to be part of the Audit Team who will participate in the document review and field activities of the audit. In addition, EWMCE will perform a technical review of findings and document the review. The Audit Team will complete the surveillance audit according to EWMCE procedures.



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- 15.7** An audit plan and proposed date will be sent to the Client. The plan will include instructions to ensure that the Audit Team will audit a sufficient number of documents in relation to the management system and activities of the Client to get a sound appraisal of the implementation, including effectiveness of the management system.
- 15.8** EWMCE shall periodically evaluate the marked products to confirm that they continue to conform to the standards. EWMCE shall implement re-evaluation and retesting as required by the specific standards.
- 15.9** **Surveillance audit focus** will be on the new processes that were created to meet the requirements of certification as well as on ensuring that the management system is being maintained such as incidents are recorded; corrective and preventive actions are properly recorded and implemented; and senior management fully supports the system etc.
- 15.10** The Audit Team will review the following aspects of the management system during each surveillance audit:
 - a. internal audits and management review;
 - b. customer complaints; dispute resolution strategy and effectiveness of resolution;
 - c. effectiveness of the management system with regard to achieving the objectives;
 - d. review and verification of continued effective implementation of corrective actions for every non-conformity from present Client audit and previous audits;
 - e. progress of planned activities aimed at continual improvement; and
 - f. use of EWMCE’s certification mark, logo or any other reference to certification in publications, website etc.
- 15.11** **Special audits** may be conducted based on the following situations:
 - a. Extensions to scope: In response to an application for extension to the scope of a certification already granted, the application will be reviewed to determine the audit activities necessary to decide whether or not the extension may be granted.
 - b. Short-notice audits: The special audit may be required to be conducted on short notice in the event of following:
 - i. Investigation of a complaint;
 - ii. Significant changes in the Client organization;
 - iii. Follow up on suspended Clients.
- 15.12** **Client/Product surveillance audits** may be required on its approved suppliers to ensure quality control.
- 15.13** **Non-conformances** - If a Client is non-compliant with the requirements given by EWMCE’s certification program, the Client will be given an opportunity to correct deficiencies unless the deficiency is such that it poses a serious health and/or safety hazard, in which case the certification will be suspended until the situation is corrected.



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15.14 If there are any non-conformances detected during any audit, the time frame for taking corrective actions and evaluating the effectiveness of corrective actions will be as follows:

a. **Major Nonconformity:**

i	Time frame for confirmation of corrective action by Client	30 Days
ii	Time frame for verification of effectiveness by EWMCE	90 Days

b. **Minor Nonconformity:**

i	Time frame for confirmation of corrective action by Client	30 Days
ii	Time frame for verification by EWMCA auditor	Next surveillance audit or recertification assessment

15.15 In the occurrence of nonconformities, the Client will submit in writing that they wish to address the nonconformities.

15.16 Effectiveness of corrective actions on non-conformances raised during any previous audit will be verified. The Audit Team will verify any changes in the management structure and management systems of the Client organization and will review activities / operations likely to be affected by such changes.

15.17 Once the nonconformities are corrected, the associated costs for repeat surveillance audit will be to the Client.

15.18 The auditor may or may not choose to return for a repeat surveillance audit which will focus on the documented nonconformities.

15.19 The Audit Team will submit the final surveillance audit report to the Senior Wastewater Engineer who will review for completeness of assessment and for compliance / continued compliance of the Client management system with certification requirements.

15.20 Upon satisfaction of the surveillance audit, the final surveillance audit report will have a final review by the Certification Advisory Committee.

15.21 The full Surveillance Audit Report shall be issued to the client and a copy placed in the Client's file.

15.22 Full satisfaction of the surveillance audit will initiate an updated Certificate of Conformity.



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16.0 CHANGES AFFECTING CERTIFICATION

- 16.1** If EWMCE becomes aware of any new or revised requirements that will affect a Client’s certification, EWMCE will promptly advise the Client in writing of the changes and provide recommendations for action that will allow the Client to retain its certification.
- 16.2** In response to a request for amendment to the scope of a certificate already granted, EWMCE will review the request in accordance with the appropriate Standard and will evaluate the changes. EWMCE may engage the Certification Advisory Committee to assist with the evaluation process.
- 16.3** When a Client proposes a change in an approved system or requests approval of a scaled-up system within an approved series, the request must be made in writing and documentation and/or proposed drawings will be provided by the Client showing these changes.
- 16.4** With any changes, EWMCE’s actions include repeating tests and/or audits at whatever level of detail is necessary to verify that the Client has taken the steps required to implement the changes and ensure that the product continues to conform to the standard. If the client does not implement the required changes, EWMCE will suspend the Client’s certification until the Client regains compliance
- 16.5** Additional testing of the product may be required at the Client’s cost, including a complete re-evaluation of the product.
- 16.6** The Client shall not release the modified product using EWMCE’s Certification Mark until a letter from EWMCE approving the change is received by the Client. This letter will document the rationale for allowing the change and a copy will be kept in the Client’s file.
- 16.7** If, in the judgment of EWMCE the change is warranted, the following actions to implement the change will include:
 - a. re-evaluation as determined by EWMCE;
 - b. review;
 - c. authoritative decision obtained;
 - d. issuance of an amended formal Product Certification Agreement which includes revised term and surveillance audit schedules.
- 16.8** **Certification Renewal** notification to the Client will be given 3 months in advance. EWMCE will provide the Client with written certification renewal requirements.
- 16.9** If the Client wishes to recertify a recertification audit will be scheduled.
- 16.10** Upon positive results of an audit, the certification will be renewed and an amended Product Certification Agreement will be generated.
- 16.11** **Recertification** - If a Client wishes to have its product recertified for any reason, including suspension, reduction or termination, EWMCE will determine the steps needed to regain certification. A new certification plan will be prepared for the Client’s review and approval, and the activities set out will be completed to the degree required to meet the requirements of the Standard.
- 16.12** If certification is withdrawn for any reason, all documentation will be reviewed and, if applicable, reissued to correctly reflect the current status of the Client’s certification.



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17.0 TERMINATION, REDUCTION, SUSPENSION OR WITHDRAWAL OF CERTIFICATION

17.1 Certification shall be suspended, reduced in scope, or terminated in any of the following circumstances:

- a. Audit of the Client’s management system or product has persistently or seriously failed to meet certification requirements.
- b. A major nonconformity is substantiated through surveillance audit or other means.
- c. A previously corrected major nonconformity reappears or continues to exist.
- d. The certified Client does not allow surveillance or recertification audits to be conducted at the required frequency.
- e. The certified Client has voluntarily requested a temporary suspension.
- f. The certified Client has not provided payment for certification.
- g. A safety related product incident or safety related recall involving products that were certified for the Canadian marketplace. In that case, EWMCE will immediately suspend certification, with notification to the Client in writing; and notify the regulatory advisory body (CACP and/or others) in writing in both French and English. Copies of all related correspondence will be sent to SCC. Subsequent actions required by the Client will be provided in writing, and will vary depending on the circumstances of the non-conformity.
- h. A relevant regulatory authority submits a formal written request for suspension, reduction, or termination of a Client’s certification. In this case, EWMCE shall inform the SCC and take appropriate action as set out in CAN-P 1527.

17.2 If the effectiveness of corrective actions is not demonstrated during follow up assessments, or if a major non-conformance of a similar nature is noted in subsequent surveillance or recertification audits, EWMCE Certification Body will make a recommendation on the appropriate level of action. A formal written notice will be sent to the Client, setting out the actions required to reinstate the certification, the period of suspension, which shall be either effective closure of the major non-conformance or 6 months, whichever is earlier, and the requirements for changes to public information by each party during the suspension period.

17.3 If the Client does not follow the defined required actions, the EWMCE Certification Body will review the information and may recommend termination of the certification.

17.4 A formal Suspension Letter will advise the period of suspension, which shall be either effective closure of the major non-conformance or 6 months, whichever is earlier.

17.5 A Client may voluntarily request for suspension in writing. EWMCE Certification Body will initiate the suspension for a maximum period of 6 months and will respond to the Client in writing.

17.6 In all cases, the EWMCE Certification Body will advise the Client in writing of the contractual requirement to refrain from any promotion of certification during any period of time when the certification is not in effect. The Client’s suspension or termination will be published in appropriate media, particularly if there is any evidence of continued promotion or advertising of certification.



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- 17.7** If suspension for any reason is not revoked within 6 months the EWMCE Certification Body will consider options including whether certification will be withdrawn completely or whether the scope of certification will be reduced, removing those parts of the management system which are affected.
- 17.8** The EWMCE Certification Body will advise the Client in writing that certification has been suspended, reduced or terminated. The letter will restate the requirement to return the original certificate(s) and completely and immediately discontinue use of all advertising matter that contains reference to certified status.
- 17.9** Upon request of any interested party, EWMCE shall correctly provide the status of certification of a Client's management system within 15 days.

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17.10 Summary of Action to Suspend, Reduce, or Terminate Certification

Continuation	Reduction in Scope of Certification	Suspension	Termination	Reinstatement
Certification remains in effect.	Client advised of the reduced scope of certification.	Client advised of suspension; Client requests suspension.	Client advised of Termination.	Client advised of requirements of reinstatement.
Additional surveillance will be done to verify Client is implementing required actions.	EWMCE informs the public, SCC, others as required.	EWMCE informs the public, SCC, others as required.	EWMCE informs the public, SCC, others as required.	EWMCE informs the public, SCC, others as required.
	Any other actions required by certification scheme.	EWMCE develops and communicates plan to address issues and removes suspension.	Client advised to cease use of certification mark, discontinue marketing product as certified, etc.	Modification of certification documents to reflect reinstatement of certification.
	Modification of documents to reflect reduction in scope.	Review/revise public communication, website information, etc.	Review/revise public communication, website information, etc.	Review/revise public communication, website information, etc.
	Revise public communication, website information, etc.	Cancel Certificate of Conformity – request its return.	Cancel Certificate of Conformity – request its return.	Re-issue Certificate of Conformity.
	Amend Product Certification Agreement if required.	Additional surveillance to verify Client is implementing required actions.	Terminate Product Certification Agreement.	Execute or amend Product Certification Agreement.
			Verify Client actions regarding certification mark and marketing.	Verify Client actions regarding certification mark and marketing.



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18.0 RECORDS

- 18.1** EWMCE will follow its established procedures to ensure confidentiality requirements are maintained during use and afterwards; and to ensure proper retention and disposition of documents and records.
- 18.2** Records will be retained for at least the minimum time set by legislation or by contract, or for a reasonable amount of time in relation to the significance of the record.

19.0 COMPLAINTS AND APPEALS

- 19.1** EWMCE must take appropriate and timely action on any complaint or appeal and will follow established procedures. A quality system complaint is one that raises doubt concerning EWMCE’s compliance with its policies or procedures or with the requirements of the EWMCE Quality System or otherwise concerning the quality of the laboratory’s tests and design evaluations.
- 19.2 Client Product Complaints** - EWMCE will require the Client by means of contractual terms to document all complaints relating to the certified product that the Client receives or becomes aware of.
- 19.3** Records of complaints made to the Client regarding compliance with relevant standards and of the action taken by the Client to address the deficiencies will be filed and retained by the Client for review by EWMCE when requested.
- 19.4** EWMCE will review the Client’s complaint records and ensure that the appropriate actions were taken in response to complaints.
- 19.5** Records of actions taken by Clients to correct any deficiencies with their products and services that would prevent meeting full requirements for certification will be filed and retained by Clients for review by EWMCE when requested.
- 19.6** EWMCE will review the Clients’ records of deficiencies with their products and services to ensure that the appropriate actions were taken in response to the recorded deficiencies.
- 19.7** EWMCE will document its findings, and a report of these will be filed and retained for future reference.

20.0 EWMCE CERTIFICATION PROCESS MAP – See Appendix A

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