

# **ASSE International Seal Control Procedures**



**October 2021e1**

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Executive Director  
9/28/2022

## PREAMBLE

Written operating procedures shall govern the methods used for maintaining the product listing program and shall be available to any interested person. These operating Procedures are maintained by ASSE International Chapter of IAPMO LLC (“ASSE International” or “ASSE”).

The Product Listing Program (PLP) is a type V certification scheme that ASSE uses for its listing program. The Product Listing Team (PLT) is responsible for reviewing and granting product listings. The Seal Control Board, an integral part of the Product Listing Team appointed by the ASSE International Board of Directors, is an advisory committee to the ASSE International Board of Directors. The Manager of Product Certification and Standards shall be responsible for reviewing requests for extending a product listing.

Display of the ASSE Seal and the applicable standard number shall indicate that the product(s) has completed the certification process by the Product Listing Team as meeting the material and performance requirements of the applicable product standard and the current edition of the *Seal Control Procedures*.

Display of the ASSE Seal is not a product endorsement.

Display of the SCC mark is not an endorsement of ASSE or the products ASSE lists by SCC.

For listees with ASSE listed products sold in Canada, SCC is the final level of appeal in disputes regarding conformance with certification and accreditation criteria.

All certification services are available internationally, including all parts of Canada and the United States.

ASSE declares responsibility for decisions relating to granting, maintaining, extending, suspending, and withdrawing of certification.

ASSE International  
October 2021

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# 1. SEAL CONTROL PROCEDURES AND PRODUCT LISTINGS

## 1.1 Scope

The scope of the Product Listing Program (PLP) of ASSE International includes the listing of products, including devices, fittings, appliances, and materials pertaining to plumbing, water treatment and piping systems which are in the interest of protecting public health. The listing of products includes requirements for safety, health, construction, maintenance, performance and/or operation of equipment and materials for plumbing, water treatment and piping systems as referenced by ASSE and other applicable industry standards. All certification activities with respect to listees', including but not limited to, listing requirements, evaluations, reviews, decisions, and surveillance are confined to the scope of certification with ASSE.

## 1.2 Organization

- A. As per the ASSE International By-Laws, the President shall appoint all committee members, in accordance with the ASSE International By-Laws or by resolution.
- B. The Manager of Product Certification and Standards shall ensure the implementation of these procedures and the ASSE International By-Laws as they pertain to the certification program.
- C. Where the ASSE International Board of Directors determines that a special committee must be formed, the committee shall be formed using a classification system which is devised by the Manager of Product Certification and Standards and within the scope of the ANSI National Accreditation Board (ANAB's) and Standards Council of Canada's (SCC) guidelines and approved by the ASSE International Board of Directors.
- D. The ASSE Executive Director shall be responsible for the supervision of the finances and shall be responsible for providing adequate resources for ASSE International's certification activities.
- E. The Executive Director shall be responsible for all activities relating to the ASSE Product Listing Program and the protection of its integrity and, through the ASSE Board of Directors, all ASSE International Office personnel responsible for related activities of the Product Listing Program. This includes assigning personnel for performing each evaluation task.

## 1.3 Openness/Consensus

- A. The ASSE Product Listing (Seal) Program is open to any manufacturer producing a product that complies with all the requirements of the program and the requirements of the applicable product standard. ASSE International is responsible for the ASSE Product Listing (Seal) Program to be administered in a nondiscriminatory manner and shall:
  - 1. Avoid placing an undue financial burden or other conditions that prohibit the use of the program.
  - 2. Not discriminate based on the size of the manufacturer.
  - 3. Not require the manufacturers to be a member of ASSE in order to have their products authorized to display the ASSE Seal.Confine its requirements, evaluation, review, decision, and surveillance (if any) to those matters specifically related to the scope of certification.

4. Not make authorization to display the ASSE Seal on a product contingent on prior certifications, either for a specific product or by the manufacturer.
  5. Not provide consultancy services to listees, applicants, manufacturers, or any other interested parties.
  6. Perform all certification activities impartially.
- B. Not offer or provide management system consultancy or internal auditing to its clients where the certification scheme requires the evaluation of the client's management system.
  - C. Revisions to the Procedures will be processed in accordance with Section 17.13.

#### **1.4 Subcontracting/Outsourced Activities**

- A. ASSE maintains the right to subcontract work.
- B. ASSE ensures the subcontracted body or person(s), is competent and complies with the current edition of the Seal Control Procedures and the signed agreement.
- C. ASSE takes full responsibility for the subcontracted work and maintains the responsibility for granting, maintaining, extending, suspending, or withdrawing the signed agreement.
- D. ASSE shall monitor all subcontractor performance. The subcontractor or subcontractor's representative shall be responsible for addressing any corrective or preventative action with ASSE in a timely manner.

#### **1.5 Conflict of Interest and Confidentiality**

- A. All ASSE personnel, including subcontractors but excluding listed laboratories directly involved in the Product Listing Program are required to complete an R-095-ASSE form annually, which includes sections on conflicts of interest and confidentiality. Listed laboratories and subcontractors shall have conflicts of interest and confidentiality requirements included in their contracts. Administrative/support staff are excluded from this requirement.
- B. Any ASSE personnel involved in the Product Listing Program, including personnel of the subcontracted body, who may have a conflict of interest as declared on the form, shall not be assigned to the processing and review of a product listing where a conflict of interest may exist. A conflict of interest could exist if the personnel, member, or subcontractor has been involved in or been employed by a body involved in the design, supply, installation, or maintenance of the applicable product within the past two years.
- C. All Seal Control Board and ASSE International Board of Director members are required to complete a Conflict of Interest and Statement of Confidentiality form, (R-095-ASSE). Annually the Seal Control Board and ASSE International Board of Director members are required to review their R-095 form and declare any changes which could impact conflict of interest.
- D. Seal Control Board members who have a conflict of interest as declared on the form shall not ballot or review an application where a conflict of interest may exist.
- E. Should an undisclosed conflict of interest arise for a member of ASSE staff, of subcontract staff or a Seal Control Board member, the member will be removed immediately per the Seal Control Procedures.
- F. ASSE shall also perform and document an analysis of potential conflict of interests for all related bodies or subcontracted parties by entering the information in the Impartiality FMEA spreadsheet.

- G. If an actual, perceived, or potential conflict of interest is observed within the product certification process, it is the Manager of Product Certification and Standards' obligation to resolve it. If it cannot be resolved, then it will be reported to the Executive Director and an action commensurate with the degree of conflict of interest shall be undertaken.

### **1.6 Product Listing Extent of Listing**

An ASSE Product Listing does not imply an endorsement or a warranty of any kind on the part of ASSE, ANAB or SCC, with respect to the manufacturers or the distributors of the listed products.

## **2. APPLICATION REQUEST**

### **2.1 Applicant**

Applications for the ASSE Seal shall be requested by a product manufacturer who is responsible for its design, production and any subsequent changes or licensee (hereinafter referred to as the applicant). To request application documents in French, a written request shall be sent to the attention of ASSE's Product Listing Team.

### **2.2 Application Packet, Forms and Questions**

- A. Upon request, the ASSE International Office shall forward an application packet, complete with instructions, procedures and required forms to the Applicant. The application packet shall include a list of all ASSE listed testing laboratories or agencies (hereinafter referred to as listed testing laboratory) capable of testing to the applicable product standard(s), the Product Listing Contract, and the listing agreement.
- B. All ASSE application documents and product listing forms are controlled documents and the format of them shall not be amended by any party other than ASSE.

### **2.3. Applicant's Responsibilities**

- A. The applicant shall make all arrangements with the listed testing laboratory for conducting the product(s)' testing and shall be responsible for all costs incurred.
- B. The applicant shall forward all required documentation as referenced on the Product Listing Contract to ASSE. Applicants shall submit a completed ASSE Product Listing Contract for all products or series of products, under one standard.
- C. The applicant shall forward the required application fee as referenced on the Product Listing Contract.

### **2.4. Explanation or Clarification Regarding the ASSE Product Listing Process**

For an explanation or clarification regarding the ASSE product listing process or Seal Control Procedures, the applicant, ASSE listee or an ASSE listed testing laboratory shall contact the Product Listing Team.

### **3. APPLICATION SUBMITTAL AND CERTIFICATION**

#### **3.1. Application Materials**

- A. The initial application shall include:
  - 1. From the listed testing laboratory or applicant:

One copy of the completed laboratory report(s) for the product(s) tested to the required sections of the standard shall be submitted to the attention of the Product Listing Team. Laboratory reports to ASSE standards shall be submitted using the appropriate Laboratory Evaluation Report Form (LERF), unless waived by the Product Listing Team.
  - 2. From the applicant:
    - a. One set of installation instructions, maintenance instructions, catalogue cut sheets and spare parts lists, and copies of safety labels and instructions if required by the standard or by the Authority Having Jurisdiction of where the product is intended to be marketed. The Standards Council of Canada (SCC) Mark shall not appear on the product or the product's packaging.
    - b. A drawing identifying the location of the ASSE Seal on the product(s);
    - c. A completed and signed Product Listing Contract;
    - d. One set of assembly drawing(s) [exploded view drawings are acceptable] and/or bill of materials;
    - e. If requested, one set of individual detailed parts drawings of the components of the product with a complete material listing;
    - f. A completed Wetted Parts List (WPL) as required;
    - g. The quality manual from each factory;
  - 3. All items shall be sent to the attention of a member of the Product Listing Team.
- B. All application materials, including relevant safety labels, shall be submitted in English. If the product is intended to also be marketed in Canada in addition to the US, the applicant shall provide copies of the items as requested in Section 3.1.A.2.a in both English and French.
- C. Toxicity Requirements
  - 1. Testing regarding toxicity or verification of compliance to toxicity requirements, as applicable, shall be accepted by ASSE if the laboratory's internationally recognized ISO/IEC 17025 accreditation includes the appropriate standard (e.g. NSF/ANSI/CAN 61) within its scope of accreditation.
  - 2. If the toxicity requirements are reviewed or verified by a laboratory not meeting the above criteria, ASSE will subcontract a toxicologist to review the data prior to balloting the application. Any fees for the subcontracted toxicologist will be billed to the applicant.
- D. Transfer Applications
  - 1. The scope of a transfer application is a set of products that are currently certified by another certification body to the same standard and revision.
  - 2. See 23 Transfer Applications and Secondary Reviews & Decisions for further requirements.

#### **3.2. Application Review Time Period**

- A. Regular review – regular review applications have a fifteen-business day ballot period.
- B. Accelerated review – requires an additional fee and has a five-business day ballot period.



### **3.3. Application Requirements**

- A. Applications, including test results, must be submitted to the current edition of the standard in order to be accepted for review by ASSE, excluding the provisions as outlined in Section 12.1.
- B. Applications may include more than one model or series of models; however, all the models must pertain to the same product performance standard.

### **3.4. First Time Applicant (or new manufacturing facility) Quality System Requirements**

For quality system requirements, refer to 7 Quality System.

**NOTE:** Incomplete applications will not be processed until such time that the applicant can supply all the required data and documents to ASSE. Incorrect applications may be charged an additional fee based on the time and cost involved to correct the application.

### **3.5. Product Listing Team Administration**

- A. Upon receipt, the Product Listing Team shall determine if the application includes all items referenced in Section 3.1 and that ASSE has the capability to perform the certification review for the application submitted by verifying that the requested scope of listing is in Appendices C and D. The Product Listing Team is obligated to decline the application if the scope of listing is not within ASSE International's capabilities. Applications to be listed to parts or fractions of standards will be declined unless allowed in the standard (e.g. NSF/ANSI/CAN 61).
- B. Bracketing of models is allowed as a part of the evaluation planning and is considered an evaluation activity. It shall be performed by an individual deemed competent on the Product Listing Team. Bracketing performed by the testing laboratory must be approved in writing by the Product Listing Team. Bracketing is defined as the selection of products and tests to justify the certification of other, non-selected products.
- C. The Product Listing Team shall notify the applicant or the listed testing laboratory, in writing, of any documentation omissions and errors and the corrective action required. The application is not forwarded until all application documentation is complete and correct.
- D. If the application includes all required documentation, the Product Listing Team shall forward the application materials to the Evaluator(s) for evaluation.
- E. For products that require toxicological testing, the evaluation plan shall be sent to the laboratory to initiate testing.

### **3.6. Evaluation**

- A. The Evaluator(s) shall be a person or persons deemed competent for performing the evaluation function for a specific scope of certification. The Evaluator(s) shall evaluate the laboratory report, technical data and supporting documents as submitted by the listed testing laboratory in comparison to the technical data and supporting documents submitted by the applicant, including, but not limited to, laboratory report, certifications, drawings, markings, verification of compliance for toxicity requirements (if applicable), installation instructions and spare parts lists. The Evaluator(s) shall verify the documents are complete and in order and ensure that ASSE has the technical expertise for the certification review of the application submitted.

- B. If the Evaluator(s) determines that the application is complete, the application will be forwarded to the Product Listing Team to be reviewed in accordance with Section 3.7 and confirmed in accordance with Section 4.
- C. If the Evaluator(s) determines that item(s) pertaining to technical data or documentation are incorrect or incomplete or contain a non-conformity, the Evaluator(s) shall communicate with the applicant and/or the listed testing laboratory and advise them accordingly. If the product requires a retest to specific sections of the standard in order to address technical deficiencies, both the applicant and lab will be informed.
- D. If the applicant requests a deviation to the certification relative to the standard, the instructions in Section 4.9 shall precede the review and decision.
- E. The applicant and/or the listed testing laboratory shall have fifteen days to respond to the Evaluator(s). Failure to respond may be cause for rejection of the application.
- F. Once the necessary documentation is returned to ASSE and if the documentation is determined to be:
  1. Incorrect, the Evaluator(s) shall:
    - a. direct the Product Listing Team to communicate to the applicant the reason(s) the application is incomplete; or
    - b. continue to work with the applicant and/or the listed testing laboratory, if their interest in continuing is expressed, until all issues and non-conformities are addressed including additional evaluation tasks as noted by the Evaluator(s) to the applicant. The process repeats starting from 3.6.A.
  2. Correct, the Evaluator(s) shall complete the Technical Evaluation Form and the application will be forwarded to the Product Listing Team to be reviewed in accordance with Section 3.7 and confirmed in accordance with Section 4.
- G. The applicant shall be responsible for any additional costs, as determined by ASSE.

### **3.7. Review**

- A. A competent reviewer shall review the Evaluator's evaluation.
- B. Prior to completing the review, the results of all applications requiring Seal Control Board *(see Section 16 for details of Seal control Board)* ballots shall comply with Section 4.
- C. The reviewer shall not be the same individual who performed the evaluation.
- D. The reviewer shall review all information gathered and generated during the evaluation. A review may consist of:
  1. Verifying all appropriate documents have been received;
  2. The product listing contract has been executed and the information matches the proposed certification;
  3. The testing and/or bracketing comprises all models on the contract;
  4. The Technical Evaluation Form has been appropriately completed;
  5. The Seal Control Ballot results.

### **3.8. Decision**

The reviewer shall make the decision as to whether or not ASSE shall grant or continue to grant certification to the applicant regarding the products in question.

- A. The new listing will be published on ASSE's website.
- B. The applicant (hereinafter referred to as the listee) shall be notified by a member of the Product Listing Team.
- C. Under the signature of the Executive Director, a Seal Listing Certificate identifying the listee's name and address, ASSE's name and address, the standard's numerical designation and revision date, the model(s), the product seal record number, the listing date, and the listing expiration date shall be included with the notification of certification.

## **4. SEAL CONTROL BOARD CONFIRMATION PROCEDURES**

### **4.1. Application Confirmation**

- A. The purpose of the confirmation is to verify that the application process performed by ASSE staff is complete and correct. This process applies to all new product applications for products being certified to ASSE standards within the scope of ASSE's accreditation.
- B. Each voting member of the Seal Control Board shall confirm via ballot that the application documentation, the Technical Evaluation Form, and the laboratory report with respect to the appropriate sections of the product standard comply with the Seal Control Procedures.
- C. Should any discrepancies between the supporting documentation and the appropriate sections of the product standard be noted, the application shall be disapproved.
- D. Application documentation is transmitted to Seal Control Board voting members by way of mail, e-mail, or posted on a secure website for the duration of the ballot.

### **4.2. Application Confirmation Time Frame and Balloting**

- A. The voting members of the Seal Control Board shall reply by ballot as appropriate. The Seal Control Board written ballots have the following voting options:
  - 1. Affirmative
  - 2. Tentative
  - 3. Negative
  - 4. Abstain
- B. The voting members of the Seal Control Board shall complete the ballot by checking the applicable box(s), including the declaration box, sign, date and return the ballot no later than the close of the business day as stated on the ballot.
- C. Ballots received by the Product Listing Team after the close of the balloting time frame may not be considered in the confirmation.
- D. Balloting results shall not be disclosed to the applicant until either all the ballots have been returned or after the close of the balloting time frame.
- E. At least three member classifications shall be represented on every ballot issued. These classifications include: Engineer, Educator/Trainer, Contractor, Inspector, and General.
- F. The Seal Control Board Chairperson and Vice-Chairperson may not vote on the same ballot.

### **4.3. Completion of Confirmation**

For the product listing to be confirmed, 5 voting Seal Control Board Members shall be balloted, with a minimum of 3 affirmative votes returned, less abstentions. Any negative or tentative ballots received shall be resolved during the review step in the process. Once 3 affirmative votes have been returned, and all negative and tentative ballots resolved, the ballot passes. None of the balloted members shall have been involved in either the evaluating (Section 3.6) or reviewing (Section 3.7) processes.

### **4.4. Retention of Application Material**

One copy of the application material shall be retained by the ASSE International Office for the duration of the listing. Refer to Section 19.3 for retention of inactive records.

#### **4.5. Tentative or Negative Confirmation Ballots**

- A. Technical Reason:
  1. All tentative or negative ballots due to a technical reason shall be reviewed by the Product Listing Team.
  2. The Product Listing Team may discuss the contents of the tentative or negative ballot(s) with the listed testing laboratory of record, the Seal Control Board Member(s) or the applicant's contact person regarding possible errors, omissions or supporting documentation.
  3. Responses from the applicant, the listed testing laboratory or the Seal Control Board member(s) shall be received within fifteen business days and shall be forwarded to the Product Listing Team for review. If, in the opinion of the Product Listing Team, the unresolved issue(s) has been satisfactorily addressed, the Product Listing Team shall forward a copy of the response and a second ballot to the voting member(s) of the Seal Control Board who submitted the tentative or the negative ballot(s).
  4. The Product Listing Team may discuss the response with the listed testing laboratory of record or the applicant's contact person to clarify any possible errors, omissions or supporting documentation.
  5. If the applicant or listed testing laboratory fails to respond within fifteen business days, the application fails, and the applicant is notified.
- B. Documentation Reason:
  1. If the ballot has been returned with a tentative or negative vote based on a documentation error, the Product Listing Team shall address the comment(s) with the applicant or the Seal Control Board Member(s). Once the documentation error has been addressed, the Product Listing Team shall forward a second ballot to the Seal Control Board Member(s) who cast a negative or tentative ballot.
- C. If it is determined by ballot of the Seal Control Board that an application does not meet the scope of a standard, the products under the application shall not be listed.

#### **4.6. Second Ballot for Confirmation**

- A. The member(s) of the Seal Control Board who submitted the tentative or the negative ballot(s) shall have five business days to review the response and return the second ballot.
- B. No new issues on this application shall be introduced.
- C. If the member(s) of the Seal Control Board who submitted the tentative or negative ballot(s) fails to return the second ballot by the close of the fifth business day, the Product Listing Team shall inform the Seal Control Board Chairperson. The Product Listing team and/or the Seal Control Board Chairperson shall determine if all issues are resolved. If determined to be resolved, the tentative or negative ballot shall then be receded.

#### **4.7. Resolution of Second Tentative or Negative Ballot**

- A. If a tentative or negative ballot(s) is received from the second ballot(s), the Seal Control Board Chairperson and/or Product Listing Team, in an attempt to resolve the issue(s), shall address the Seal Control Board member(s) who submitted the tentative or negative ballot(s) by correspondence, special meetings or teleconferences.

- B. If the Seal Control Board Chairperson and/or Product Listing Team, through correspondence, special meetings or teleconferences with Seal Control Board member(s) who submitted the tentative or negative ballot(s), resolves the issue(s) within fifteen business days of the second ballot closing, the procedure as set forth in Section 3.8 shall be followed.
- C. If the Seal Control Board member(s) cannot reach an affirmative, unanimous decision, less abstentions, on the second ballot:
  - 1. The product listing shall not be listed, and the Product Listing Team shall notify the Seal Control Board Chairperson; or
  - 2. Following confirmation from the Product Listing Team, that the discrepancies, omissions, or failures as indicated on the ballot(s) have been addressed, the Seal Control Board Chairperson, may override a single tentative or negative ballot provided there are three or more affirmative ballots. If the Seal Control Board Chairperson submitted a ballot, the vice-chairperson shall perform this function.

#### **4.8. Notification of a Failed Confirmation**

If the application fails the confirmation process, the Product Listing Team shall notify the applicant in writing that the products shall not be listed.

#### **4.9. Deviations to Standards**

A deviation is defined as an alteration to or an omission of certain requirements of the standard to which the product is certified. Listed products are to comply with the full requirements of a standard unless a deviation has been specifically granted and approved by the Executive Director. Deviations may be considered for the following reasons: 1) New technologies incorporated prevent testing as defined in the standard, 2) There are pending changes or proposed changes to the standard which changes requirements or test methods, 3) A new standard is being developed to address the cause for the requested deviation.

- A. Listed products are to comply with the full requirements of a standard unless a deviation has been specifically granted by the Product Listing Team with a recommendation from the Seal Control Board and approval by the Executive Director. Deviations shall be processed in the same manner as a modification affecting performance to a product per Section 10.3.
- B. One cannot apply for a deviation to a private label. All deviations granted to primary seals shall affect the associated private labels in kind.
- C. Deviations shall be requested by an authorized representative of the manufacturer and contain:
  - 1. List of affected products;
  - 2. Sections of the standard affected by proposed deviation;
  - 3. Purpose of deviation.
- D. If granted, the listing certificate shall identify the scope of the deviation from the standard and shall be available to the public.
- E. When deviations are granted, considerations for an expiration date based on the reason for the deviation shall be considered. If the listing is made inactive per 13 a new deviation shall be requested if a new application is submitted to reapply for certification.

## **5. PRODUCT LISTINGS APPEALS, COMPLAINTS, DISPUTES OR QUESTIONS**

### **5.1. Appeals, Complaints, Disputes or Questions**

- A. ASSE, while recognizing its responsibility to the public to promote safe sanitary practices through the Product Listing Program, provides a system of recourse or appeal, to those who have complaints, disputes or questions about its policies, procedures, the performance of personnel involved in the Product Listing Program or product listings. ASSE shall be responsible for all decisions at all levels of the processes regarding complaints, appeals, and disputes.
- B. All complaints, disputes or questions shall be submitted in writing to the ASSE International Office.
- C. ASSE alone and at its sole discretion, has the right to challenge any entity which has been given express, prior, written consent to display the ASSE Seal.
- D. ASSE alone and at its sole discretion, has the right to challenge the unauthorized use or infringement(s) of the ASSE Seal.
- E. ASSE alone and at its sole discretion, has the right to seek legal counsel against any entity who unlawfully uses, improperly displays, or attempts to display the ASSE Seal.
- F. Personnel, including those acting in a managerial capacity, who may have a conflict of interest which may compromise the impartiality of an investigation of a complaint, question or dispute shall not be used to review the complaint, question, or dispute.
- G. At no point shall discriminatory actions be taken against the complainant due to their complaint.

### **5.2. Complaints, Disputes or Questions Regarding Product Listings**

- A. Entities that question an ASSE-listed product shall submit a letter, in writing, detailing their concerns with supporting documentation to the attention of the Product Listing Team. The Manager of Product Certification and Standards shall confirm that the subject applies to ASSE's scope of certification activities and shall reply to the entity confirming receipt of the complaint.
- B. Entities submitting complaints or disputes regarding an ASSE-listed product shall submit a letter, in writing, detailing their concerns with evidence of non-compliance to the requirements of the standard to the attention of the Product Listing Team.
- C. Complaints or disputes shall be evaluated by the Product Listing Team and reported to the Executive Director. The Executive Director is responsible for the timely response of ASSE. All necessary information shall be gathered and verified by the Product Listing Team with a recommendation given to the Executive Director.
- D. The listee of the product in question shall be notified in a timely manner that a complaint, dispute, or question is being investigated by ASSE. All necessary arrangements shall be made by the listee to cooperate with the investigation.
- E. The Executive Director is responsible to report any necessary information to the ASSE International Board of Directors.
- F. If ASSE determines that the product should be retested to the applicable standard after reviewing the letter and supporting documentation indicating non-compliance, ASSE shall independently obtain the product for testing at an ASSE listed testing laboratory.

- G. Once the retesting is completed, the complainant and the listee of the product in question will be notified of the results.
- H. If the product fails the retesting, the procedures in Section 13.4 shall be followed and ASSE shall determine the costs that are chargeable to the listee of the product not in compliance.
- I. Prior to the start of testing at ASSE's request, the complainant shall agree in writing to pay for all costs involved should the retesting indicate continued compliance of the product.
- J. After completion of the investigation, the listee of the product in question and the complainant shall be informed of the results.
- K. If the complaint comes from a Canadian Regulatory Authority in order to request cessation of certification of a listing, the Manager of Product Certification and Standards shall inform SCC and act in accordance with ISO/IEC Guide 27.
- L. The Executive Director and the Product Listing Team shall determine, with input from the complainant and certified listee, whether and to what extent the subject of the complaint shall be made public.

### **5.3. Complaints, Disputes or Questions Regarding ASSE Procedures, Policies or Personnel**

- A. Person(s) who have complaints, disputes or questions about the policies and procedures of the Product Listing Program shall document these complaints or questions, in writing, to the attention of the Product Listing Team.
- B. Complaints, disputes or questions about the policies and procedures of the Product Listing Program shall be evaluated by the Product Listing Team and reported to the Executive Director.
- C. The Executive Director is responsible to report any necessary information to the ASSE International Board of Directors.
- D. Person(s) who have complaints, disputes, or questions about the performance of the personnel involved in the Product Listing Program shall document these complaints, disputes or questions, in writing, to the attention of the Executive Director.
- E. Complaints, disputes, or questions about the performance of the personnel involved in the Product Listing Program shall be evaluated by the Product Listing Team and reported to the Executive Director.
- F. ASSE shall ensure that appropriate action shall be taken to address the issues.
- G. The complainant shall be notified, in writing, by the Product Listing Team or the Executive Director of the action taken.
- H. If the top management does not follow the input of the Seal Control Board, the Seal Control Board shall have the right to take independent action (e.g. informing authorities, accreditation bodies). In taking appropriate action, the confidentiality requirements of this document shall be respected.
- I. Input that conflicts with the Seal Control Procedures or other mandatory requirements should not be followed. Management should document the reasoning behind the decision to not follow the input and maintain the document for review by appropriate personnel.

### **5.4. Special Appeal Meeting Due to Failure of Application Review**

- A. Upon receipt of the notification that the Seal Control Board members who voted were unable to render an affirmative decision in an endeavor to resolve the issue(s) for failure, the



applicant has fifteen business days to appeal the decision and request a special meeting in an endeavor to resolve the issue(s).

- B. If the issue(s) is resolved, the members(s) who submitted the tentative or negative ballot(s) shall re-ballot for the record. The applicant shall be notified in writing.
- C. If the issue(s) is not resolved, the Product Listing Team shall notify the applicant, in writing, that the Seal Control Board members who voted were unable to render an affirmative decision and the application has failed the review process.
- D. Personnel, including those acting in a managerial capacity, who may have a conflict of interest which may compromise the impartiality of an investigation of an appeal, shall not be part of the appeals process.

#### **5.5. Record Keeping of Appeals, Complaints, Disputes or Questions**

- A. Documentation of the appeal, complaint, dispute, or question of or for a product listing, along with any correspondence and a report of any actions taken, shall be maintained while the investigation is ongoing and once closed out, for as long as the listing in question is an active listing. All documentation shall be maintained by ASSE utilizing a complaint and tracking log.
- B. Documentation for appeals, complaints, disputes, or questions regarding the Product Listing Program Procedures shall be maintained by the Product Listing Team.
- C. Documentation for complaints, questions and disputes regarding personnel involved within the Product Listing Program shall be maintained.

#### **5.6. Requests for Hearing before a Board of Appeals**

- A. Upon receipt of the notification from the Executive Director that the Seal Control Board was unable to render an affirmative decision following the special appeal meeting, the applicant may request a hearing before a Board of Appeals. A written request shall be filed with the ASSE International Office within thirty (30) calendar days after the date of notification that the application failed the review process.
- B. If a written request for a hearing is not filed within the thirty (30) calendar days, the file shall be closed, and all application documentation returned to the applicant.
- C. The Board of Appeals shall consist of three individuals who have not been directly involved in the decision and who will not be materially or directly affected by any decision made in the appeal.
  1. One member, who shall serve as the chairperson, shall be appointed by the ASSE International President.
  2. One member shall be appointed by the Manager of Product Certification and Standards.
  3. One member shall be appointed by the applicant.
- D. Each member of the Board of Appeals shall be approved by a majority vote of the ASSE International President, the Manager of Product Certification and Standards and the applicant.
- E. The purpose of the Board of Appeals is to review all documentation submitted prior to the date of the hearing and to render a decision whether the Seal Control Board adhered to the procedural requirements as set forth in the ASSE International *Seal Control Procedures* and/or the technical requirements as referenced by the applicable standard.
- F. The Board of Appeals may request testimony from the applicant and/or their expert witnesses and may request testimony from representative(s) of the Seal Control Board, the Manager of

Product Certification and Standards, representative(s) from the Board of Directors and/or their expert witnesses.

- G. The decision shall be by a two-thirds (2/3) vote by the Board of Appeals. The Board of Appeals shall render its decision, in writing, stating findings of fact and conclusions within thirty (30) days of the conclusion of the hearing.
- H. If the Board of Appeals rules in favor of the applicant, the listing shall be granted. The applicant shall be notified of the decision in writing.
- I. If the Board of Appeals does not uphold the appeal, the application shall remain failed, and the file closed. The applicant shall be notified of the decision in writing. All application documentation shall be returned to the applicant.
- J. If the applicant elects to resubmit the product(s) as a new application for the ASSE Seal, all items pertaining to the failure by the members who voted shall be addressed. The product shall then be tested at a listed testing laboratory and a new application submitted.
- K. At no point shall discriminatory actions be taken against the client due to an appeal.

#### **5.7. Appeals as a Result of a Complaint or Dispute Decision**

- A. A decision regarding a complaint, or dispute as determined by ASSE may be appealed.
- B. A representative from the parties involved shall request an appeal of the final decision as determined by ASSE with 15 days of notification.
- C. If an appeal is received, a special appeal meeting will be held via teleconference. The person issuing the appeal, along with the Executive Director and the Manager of Product Certification and Standards, shall be present.
- D. All documented expenses will be the responsibility of the party requesting the appeal.
- E. If a decision is rendered during the Special Appeal meeting, the Manager of Product Certification and Standards shall notify the parties involved in writing of the decision.
- F. If a decision cannot be rendered or the party involved would like to appeal the decision rendered, the party involved shall request a hearing before a Board of Appeals.
- G. A written request shall be filed with ASSE within 30 days after the Special Appeals Meeting.
- H. The procedures as set out in Section 5.6 shall then be followed.

#### **5.8. Timeline for Addressing Complaints & Disputes**

- A. Because each case is different and some cases may require retesting, there is not a set time period for when ASSE's investigation of a complaint or dispute will be completed.
- B. ASSE will evaluate each case and provide an estimated time period for completion of an investigation of a question, complaint or dispute to the party who issued the concern.
- C. Should the party who issued the concern feel that the investigation of the question, complaint, or dispute by ASSE is taking an unnecessary amount of time, the party may contact the Executive Director.

#### **5.9. Appeal Expenses**

- A. All documented expenses shall be the responsibility of the applicant. Charges may include, but are not limited to, purchase of product(s), testing charges, consultants, legal counsel, telephone charges, mailing/shipping costs and hourly rates as determined by the ASSE International Board of Directors for ASSE personnel.

- B. The applicant shall be invoiced, on a monthly basis, for all documented expenses. All invoices shall be paid per the stated terms. The appeal shall be held in abeyance until all past due accounts are settled.

**5.10. Technical Interpretations**

- A. All interpretation requests related to an ASSE Product Standard shall be processed in accordance with *ASSE's Procedures for the Development of Standards*.
- B. Interpretation requests related to a non-ASSE product standard shall be forwarded to the ASSE Director of Product Standards who will facilitate the resolution with the other organization.

## 6. DISPLAY OF THE ASSE SEAL

### 6.1. Ownership

- A. The International Association of Plumbing and Mechanical Officials (IAPMO) is the sole owner of the ASSE Seal, ASSE 1YT Seal and cASSE Seal (each individually a Seal and together the Seals). ASSE is the sole and exclusive license holder of these Seals. The ASSE Seal is a duly registered trademark with the US Department of Commerce Patent and Trademark Office (United States Trademark Reg. No 2,323,383) and the Canadian Intellectual Property office (CIPO) (Canadian Trademark Reg. No TMA856415). The cASSE Seal is a duly registered trademark with the CIPO (App. No 1831060). Display of the ASSE Seal, ASSE 1YT Seal, and cASSE Seal or any other ASSE mark without the prior written authorization of the Executive Director or the ASSE International Board of Directors may be a violation of federal, state, and international law. Failure to adhere to the policies set forth in this section shall result in legal action.
- B. If the listee provides copies of the certification documents to others, the documents shall be unmodified and reproduced in their entirety.

### 6.2. Display of the ASSE Seal and Product Markings

- A. The Seals shall not be affixed to or published on any product, advertisement, literature, instruction, packaging, and other printed material until written authorization to display that Seal has been received from the Executive Director or the Product Listing Team.
- B. There are various markings required by individual standards which must be displayed in order to meet the standard's requirements.
- C. Subject to express prior written consent by ASSE, ASSE-listed products which only finished surfaces exposed to view would be defaced by the imprinting of a Seal and those products by virtue of their size would not permit the imprinting of a Seal and applicable standard number(s), shall have the appropriate Seal(s) placed on all product literature and packaging. This exclusion of the Seal(s) on the product shall be recorded on the listing certification.
- D. If ASSE identifies a listed product (with the exception of products noted in Section 6.2.C) not displaying the appropriate Seal(s) on products, the listee shall be notified in writing to submit corrective action in accordance with Section 14.10.C of these procedures. If corrective action is not submitted within the time period, Section 14.10.D & E shall be followed.

**NOTE:** As each of the Seals is a recognizable symbol of product performance to recognized consensus standards, ASSE recommends that the appropriate Seal(s) be included in all product literature and advertisements.

### 6.3. Prohibition of Display of ASSE Seals

- A. Infringed products are governed by the guidelines found in Section 14.7 of these Procedures.
- B. Should ASSE discover the improper use of an ASSE Seal (i.e. Seal is displayed on product that has been determined to be hazardous, the product is not authorized to display the Seal, the product contains an unauthorized form of the Seal or the product is in violation of the certification agreement, etc.), a letter will be forwarded to the company improperly displaying

the Seal informing them to remove the logo from the product, literature, catalog, advertisements or website upon receipt of notification.

- C. The Product Listing Team shall follow up with the company in question to ensure that the improper display of the Seal has been removed in the timeline requested. If the ASSE Seal is not removed, the Manager of Product Certification and Standards shall inform the Executive Director and the Executive Director shall determine the next course of action. The Executive Director shall refer to ISO/IEC Guide 27 for direction in determining the next course of action.
- D. ASSE maintains the right to take appropriate legal action, as determined by the ASSE Executive Director, for unauthorized display of the Seal.

#### **6.4. Product Endorsement**

- A. Display of the ASSE Seal, ASSE 1YT Seal, cASSE Seal or use of the SCC Mark is not a product endorsement by either ASSE, ANAB or the SCC.
- B. Display of a Seal is confirmation that the product(s) has been submitted to ASSE for certification to the applicable product standard and is found to be in compliance with the minimum requirements as stated in the applicable standard and the current edition of the *Seal Control Procedures*.
- C. Any misrepresentations or violations of the *Seal Control Procedures* shall be cause for removal of the Seal(s) on the product(s) and on all literature pertaining to the product(s). Listees shall not use a Seal or its product certification in a manner to bring ASSE International into disrepute.
- D. Individuals and organizations making false claims regarding ASSE listings shall be contacted by the Product Listing Team or ASSE International's counsel depending on the severity of the infraction.

#### **6.5. One (1) Year Field Test**

- A. Product(s) that comply with the one-year field test requirements covered in the ASSE 1013, 1015, 1047 and 1048 standards are required to use the ASSE 1YT certification mark per ASSE's Mark Usage Guidelines and Requirements.
- B. Products that comply to the testing requirements of the ASSE 1013 or 1015 standards that have also been tested by a recognized lab and comply with the one year field testing requirements in the AWWA C510 or C511 standards are required to use the ASSE 1YT certification mark per ASSE's Mark Usage Guidelines and Requirements.
- C. Products that comply to the test requirements of the ASSE 1013, 1015, 1020, 1047, 1048 or 1056 standards and have also been tested by the Foundation for Cross-Connection Control and Hydraulic Research Laboratory and comply with the one year field testing requirements are required to use the ASSE 1YT certification mark per ASSE's Mark Usage Guidelines and Requirements.
- D. New applications seeking the 1YT Mark are required to use the 1YT Mark when the product(s) complete the certification process. Currently listed product(s) are required to add the 1YT mark to their product literature during their annual renewal and add a label using the 1YT Mark or modify their ASSE Seal to the 1YT Mark on the product by January 2023.

## 7. QUALITY SYSTEM

### 7.1. ASSE Quality System

- A. The Executive Director is responsible to establish, implement, maintain, and report to the Board of Directors regarding the quality system as defined in ISO/IEC 17065 and SCC Requirements and Guidance of Certification Bodies.
- B. The Executive Director shall charge the Manager of Product Certification and Standards to ensure these requirements are in force.
- C. The procedures for conducting internal audits shall be based on ISO/IEC 19011 and described in the ASSE Product Listing Quality Control Manual.

### 7.2. Applicant or Listee's Product Quality System

- A. Each applicant or listee shall demonstrate that the manufacturing or assembly facility for the proposed or listed product has an ongoing product quality system.
- B. The applicant's or listee's or associated manufacturing facility's quality system shall be documented in a quality control manual.
- C. The quality control manual shall include, at a minimum, the following criteria:
  - 1. A quality policy;
  - 2. An organizational chart or statement indicating which positions are responsible for compliance to the quality system;
  - 3. Procedures or policies for handling incoming materials and components;
  - 4. Procedures or policies for monitoring calibration records for processing equipment;
  - 5. Procedures or policies for inspection of finished products;
  - 6. Procedures or policies for dealing with non-conforming product;
  - 7. Procedures or policies for identifying and addressing corrective and preventive actions; and
  - 8. Procedures or policies for maintaining and addressing complaints regarding the product's compliance with requirements of the relevant standard.
- D. The manual and supporting records shall be available to ASSE when requested.

### 7.3. Applicant or Listee Complaint Records as Part of the Quality System

- A. The listee shall keep a record of all complaints made known to the supplier relating to a product's compliance with requirements of the applicable standard or the manufacturer's services and to make these records available to the ASSE or the ASSE's representative(s), when requested.
- B. The listee shall take appropriate action with respect to such complaints and any deficiencies found in products or services that affect compliance with the requirements for certification.
- C. The listee shall document the actions taken.

### 7.4. First-Time Manufacturing Facility Requirements

- A. For first-time manufacturing facilities, either for a product seeking an ASSE listing or for currently listed products, an initial inspection of the manufacturing facility shall be conducted.
- B. Refer to Section 14.2 for the requirements regarding the initial inspection.

**7.5. Manufacturing Facility or Quality System Changes**

- A. Listees shall inform ASSE of any manufacturing facility changes, including but not limited to the contact address, legal status, ownership, facility contact, or person(s) responsible for the quality system.
- B. Listees should inform ASSE of any quality system changes affecting production of the listed product.

## **8. DISPOSITION OF THE ASSE SEAL**

### **8.1. Voluntarily**

When a manufacturer voluntarily terminates (i.e. deactivates) their ASSE Seal Listing, the listee shall:

- A. Specify the date at which the deactivation takes effect.
- B. Remove the ASSE Seal from all product literature, instructions, packaging, and other printed material, including advertising matter;
- C. Remove the ASSE Seal from any deactivated products such that only certified products may bear the ASSE Seal when being placed into the market.

The process of voluntary deactivation or withdrawal of a listee's seal is listed under Section 13.6.

### **8.2. Involuntarily**

See 13



## 9. RENEWALS

### 9.1. Annual Renewal

- A. Annually, all listees shall receive a Seal Authorization Renewal Notice. This notice shall include:
  - 1. The amount due for each listing.
  - 2. A statement affirmed by the listee through payment that the product(s) has not changed or been modified in the past year.
  - 3. A statement which reads: "If the product(s) is produced at a facility subcontracted by the listee, the signature of the listee's duly authorized representative also confirms that the manufacturing facility has not made any changes to the design of the product, the materials of the product or to the material suppliers without prior notification to ASSE."
- B. Renewal status is not official until the renewal fee is received in the ASSE International Office and a renewal certificate is issued.
- C. The Seal Renewal Notice, certificate, and invoice generated is issued 4 months prior to the certificate expiration date to allow for the listee to pay the invoice by the time the current certificate expires and the new one begins.

### 9.2. Updated Material Listing

- A. At ASSE's discretion, ASSE shall require the listee to submit a complete material listing at the time of renewal.
- B. Before the listing shall be renewed, the Manager of Product Certification and Standards shall compare the material listing as submitted by the listee with the material listing on file to verify no changes to the materials have been made without prior written authorization from ASSE.
- C. If the Manager of Product Certification and Standards determines that an unauthorized modification has been made to the materials, the Manager of Product Certification and Standards shall then follow the steps in Section 13.2.
- D. Should the Manager of Product Certification and Standards determine that no unauthorized modifications have been made to the materials, a recommendation to the Product Listing Team that the listing be renewed shall be made.

### 9.3. Seal Renewal Process

- A. During the annual Seal Renewal Process, a member of the Product Listing Team will review documentation that ASSE has for a listed model(s) under each seal. This includes drawings, installation instructions, specification sheets, bill of materials, and listing contracts.
- B. If during the Seal Renewal process, it is found that documentation is missing, a letter shall be sent outlining what is missing and that the updated documentation shall be provided in the timeline described in the letter.
- C. This letter also includes information verifying any need for testing, the revision of the standard that the seal is listed to, and the listed manufacturing facility. This letter is sent regardless of whether there is missing documentation.

## 10. MODIFICATIONS TO A LISTED PRODUCT

### 10.1. Modification(s) to a Listed Product

- A. When a listee intends to make a modification(s) to an ASSE listed product(s), including a material modification, a full description of the intended modification(s), along with new technical data or drawings, shall be submitted, in writing, to the ASSE Product Listing Team.
- B. Upon receipt, the Product Listing Team shall forward the request with the supporting documentation to a selected Evaluator(s) for evaluation.
- C. The Evaluator(s) shall determine if the modification does or does not affect the performance of the product as it relates to the applicable product standard.

### 10.2. Modification(s) Not Affecting Performance

- A. If the Evaluator(s) determines that the modification(s) does not affect the performance of the product as it relates to the applicable standard (nonfunctional modification) and, as such, no additional testing will be required, the modification is considered non-technical.
  - 1. Examples of nonfunctional changes to a product listing include, but are not limited to, exterior trim options, exterior finishes such as chrome, satin chrome, and polished, additional types of end connections of the same pipe size as the original listed product, consolidations of records, and additional marketing product designation numbers.
- B. The Product Listing Team shall inform the listee of the results of the modification request.

### 10.3. Modification(s) Affecting Performance (i.e. Technical Modifications)

- A. If the Evaluator(s) determines that the change may affect the performance as it relates to the applicable standard and therefore determines additional testing is necessary, the Evaluator(s) shall make a recommendation for further testing.
- B. If additional testing is required, the listee shall submit the product(s) to a listed testing laboratory for testing to the standard as required.
- C. If testing is required, the following shall be followed:
  - 1. The listee shall submit any documentation as listed in Section 3.1 of these procedures that change as a result of the modification.
  - 2. The Evaluator(s) shall evaluate the laboratory report and all documentation.
  - 3. After evaluation by the Evaluator(s), the review and decision procedures as listed in Sections 3.7 and 3.8 shall be followed.

### 10.4. Unauthorized Product Modification

If an ASSE listed product(s) is modified by the listee or the manufacturer without prior, written authorization from ASSE, the procedures in Section 13.2 shall be followed.

### 10.5. Modification Fees

- A. The modification fee shall be the responsibility of the listee.

## **11. PRIVATE LABELS (ADDITIONAL PRODUCT LISTINGS)**

### **11.1. Private Labels (Additional Product Listings)**

- A. A private label shall exist if a current listed product is intended to be marketed by a company under a different name than the listee.
- B. Should an ASSE listee desire to additionally list a current listed product to be marketed as a private label by another company, the listee shall complete the Private Label Traceability Form, which can be obtained upon request.
- C. Upon completion, the listee shall submit the Private Label Traceability Form to the Product Listing Team.
- D. A private label request fee will apply to process the request and issue a listing certificate for the private label company.
- E. If the parent of a private label seal is delisted, the private label has until the next renewal date (unless the parent delisting was for health and safety reasons) to either change their status to a full ASSE Seal or be delisted.

## 12. REVISIONS TO A PRODUCT STANDARD

### 12.1. Applications under the Current Edition

- A. The ASSE Product Listing Team shall review revised standards and determine the ASSE Product Certification adoption date for the standard. When adopted, ASSE will update the Seal Control Procedures Appendices and inform all listed companies and recognized testing laboratories of the adoption date.
- B. An application received within six months of the adoption of the revised ASSE standard may be submitted under the previous edition of the product standard.
- C. For any application received after the six-month adoption date, the listee shall be notified that the application shall comply with the revised standard.
- D. If the product is at a listed testing laboratory and the testing cannot be completed within the six-month time frame, the applicant can submit a written request for an extension. The request shall include a statement from the listed testing laboratory indicating the approximate completion date.
  - 1. An exception to the rule may be granted upon written approval of the Product Listing Team.

### 12.2. Updating to the Revised Edition

- A. After release and adoption of a revised standard, the Product Listing Team shall inform listed companies of the revised standard, review the revised standard, and decide on additional tests, if any, needed to maintain listings.
- B. If no further testing is needed, the applicable listing(s) will be updated to the revised edition of the standard and the listee shall be notified.
- C. If retesting is necessary to maintain the listing, the product(s) shall be tested to either the revised section(s) or the complete standard. The Product Listing Team will inform all listed companies of the allowed retesting timeframe and the timeframe for compliance to the revised standard.
  - 1. All listees with products listed to the previous revision of the standard shall be informed of the testing requirements through direct correspondence.
  - 2. The listee and/or the listed testing laboratory shall submit to ASSE a revised laboratory report.
  - 3. The laboratory report shall be evaluated by a selected Evaluator(s). Should the Evaluator(s) have any questions regarding the laboratory report or need any further documentation, the Evaluator(s) shall contact the listee or listed testing laboratory for clarification.
  - 4. Should the listee elect not to submit the product(s) for retesting, the listee shall notify ASSE in writing and the product(s) listing shall be removed. The listee will be notified upon completion of the removal of the listing that the product can no longer carry the ASSE Seal.
  - 5. If the listee does not notify ASSE and a revised laboratory report is not submitted by the required compliance date, samples will be selected at the next factory audit to be sent in for rush testing. The procedures in Section 14.4 shall be followed.

### **12.3. Withdrawal of an ASSE Product Standard**

- A. When ASSE International withdraws a standard, the Product Listing Team shall notify all listees with products listed under the withdrawn standard in writing.
- B. Listing(s) can be maintained for three years from the date of withdrawal.
- C. At the close of the three-year withdrawal date, the standard and all products listed under the standard shall be removed. The listee shall be notified that the product can no longer carry the ASSE Seal.

## 13. SUSPENSIONS & REMOVAL OF PRODUCT LISTINGS

### 13.1. Suspensions for Health or Safety

- A. Health or Safety Hazard within the Applicable Standard.
  - 1. Should the ASSE Board of Directors, Product Standards Committee or Product Listing Team determine that a health or safety hazard associated with a product standard exists, all products listed under the affected standard shall be suspended immediately.
  - 2. The Product Listing Team, under signature of the Executive Director, shall notify in writing all listee(s) with products listed under the affected standard that their product(s) are suspended. The listee shall also be informed that any products produced after the date of notification of the suspension shall not carry the ASSE Seal Logo until further notice from ASSE.
  - 3. Upon resolution of the health or safety issue(s), if the product's performance as it relates to the applicable standard is not affected, the listee(s) listing shall be reinstated and the listee(s) shall be notified in writing.
- B. If the product's performance is affected, the listee(s) shall be notified in writing, that the product(s) shall be retested to the standard or to those section(s) of the standard, as determined by the Product Listing Team before reinstatement can be granted.
- C. Listee-Recognized Hazardous Situation.
  - 1. If a listee recognizes a potential hazardous situation with a listed product, ASSE shall be notified within 30 days from recognition of the problem.
  - 2. The listing shall therefore be suspended until such time as acceptable corrective action can be submitted by the Listee.
  - 3. The Listee will be informed by the Product Listing Team of the suspension of the listing on the products and that any products produced after the date of notification of the suspension until further notice from ASSE shall not carry the ASSE Seal Logo.
  - 4. After receiving notification of suspension of the ASSE listing from the Product Listing Team, the listee shall make no misleading claims regarding the certification of the product during the time of the suspension.
- D. If an inventory of products produced prior to the date of suspension carrying the ASSE Seal Logo exists, the Listee shall be responsible to notify all relevant existing and potential customers that the certification on the product has been suspended. A copy of this notification shall also be sent to ASSE.
- E. The listee shall have 60 days to submit corrective action to ASSE.
- F. The Product Listing Team shall determine if the corrective action is acceptable and if so, shall notify the Listee that the listing can be reinstated.
- G. ASSE's Responsibilities:
  - 1. For all listings removed due to a potential health or safety hazard, ASSE shall also take all measures possible to contact the appropriate regulatory authorities, including but not limited to the Canadian Advisory Council on Plumbing, and inform them of the suspension of the product listing when relevant.
  - 2. If any safety related product incidents or a safety related recall occurs that ASSE is aware of, ASSE as an accredited third party certification body, shall inform the Canadian Regulatory

Authority Advisory Body and copy the Standards Council of Canada in writing in accordance with the SCC Requirements and Guidance – Product, Process, and Service Certification Body Accreditation Program.

### **13.2. Suspensions Due to an Unauthorized Modification**

- A. If an ASSE listed product(s) is modified by the listee or the manufacturer without prior, written authorization from ASSE, the Product Listing Team shall immediately contact the listee stating the product listing has been suspended.
- B. The listee shall have 30 calendar days from date of notification of the suspension to respond to ASSE.
- C. The listee shall be informed that any products produced after the date of notification of the suspension until further notice from ASSE shall not carry the ASSE Seal Logo.
- D. If the listee responds within the allotted time frame of thirty (30) calendar days, ASSE will determine the next course of action.
- E. If the listee does not respond within the allotted time frame, the listing will be delisted and the listee informed. The status of the listing shall then be considered inactive.

### **13.3. Suspensions Due to a Failure of Factory Audit Retesting**

- A. Should two consecutive samples of the selected product fail the necessary testing or should the Product Listing Team determine a suspension of the product listing is necessary per Section 14.6.C & D, the Product Listing Team shall contact the listee stating the product listing has been suspended due to failure to conform to the applicable product standard performance requirements.
- B. The listee shall be informed that any products produced after the date of notification of the suspension, until the date of reinstatement, shall not carry the ASSE Seal Logo.
- C. Should the listee elect to reinstate the listing, the listee shall have thirty (30) days from the date of notification to address the reason for failure of the testing and re-submit the product to an ASSE listed testing laboratory for the applicable retesting.
- D. The test results shall be submitted to ASSE directly by the listed testing laboratory and/or listee within six months from the date of notification of the suspension. If six months is not enough time period to complete the testing, the listed testing laboratory shall submit a letter of explanation, including an estimated completion date to ASSE.
- E. The listee shall submit documentation detailing the corrective action to address the failure.
- F. Upon receipt of the required documentation and the Laboratory Evaluation Report form, the Evaluator(s) shall evaluate the documentation.
- G. The Evaluator(s) shall make a recommendation to the Reviewer to either reinstate or delist the listing.
- H. The Product Listing Team shall then notify the listee of the results.

### **13.4. Suspensions Due to a Failure of Retesting as Requested by ASSE to Resolve a Complaint**

- A. After following the steps as described in Section 5.2, if the retesting of a product due to a complaint received by ASSE indicates that the product is no longer in compliance with the requirements of the standard, the listee shall be notified by the Product Listing Team that the

product listing has been suspended due to failure of testing as requested by ASSE to settle a complaint submitted regarding the product.

- B. The listee shall be informed that any products produced after the date of notification of the suspension until the date of reinstatement shall not carry the ASSE Seal Logo.
- C. In order for the listing to be reinstated, the listee shall submit documentation that the cause for failure has been modified along with new testing confirming that the product meets the applicable product standard within six months from the date of notification of the suspension.
- D. The documentation submitted by the listee along with the test results shall first be reviewed by the Product Listing Team for completeness, then evaluated by an Evaluator(s), and then reviewed by the Manager of Product Certification and Standards.
- E. If the Manager of Product Certification and Standards authorizes the request, the listing shall be reinstated to an active listing.
- F. If the Manager of Product Certification and Standards rejects the request, the listing will be delisted.
- G. In order to obtain the listing again, the steps in 3 and 4 shall be followed.

#### **13.5. Suspensions Due to a Failure of Submitting the Necessary Corrective Action**

- A. If the corrective action is not submitted as explained in Section 14.10, the affected listings will be suspended.
- B. The listee shall be notified by the Product Listing Team that the product listing(s) has been suspended due to failure to submit the necessary corrective action.
- C. The listee shall be informed by the Product Listing Team that any products produced after the date of notification of the suspension shall not carry the ASSE Seal Logo until the date of reinstatement.
- D. For the listing to be reinstated, the listee shall submit to ASSE the necessary corrective action within 5 business days from the date of notification of the suspension.
- E. If the Listee fails to respond as required in 13.5.D, the listing will remain suspended.
- F. In order to be reinstated, the Listee will be required to follow the procedures as outlined in 3 and 4.

#### **13.6. Deactivating (Voluntary Delisting) a Product Listing or Removing Listed Models**

- A. Listees wanting to deactivate or withdraw their listings shall complete the “Deactivation Request with checklist” form or request in writing that the listing be deactivated or the removal of specific models.
- B.
- C. The Listee shall be responsible to verify that as of the date of the deactivation of the ASSE listing, future production of the deactivated models do not carry the ASSE Seal Logo. For product currently certified that are being requested for delisting, the listee is allowed 6 months to reduce inventory.
- D. Literature such as specification sheets, advertising, packaging, websites, and other print or digital media shall not display the ASSE seal logo on any models produced after the deactivation date. The listee is allowed a maximum 6 months to reduce literature stock only on models produced prior to the deactivation stock.



**13.7. Deactivation (involuntary delisting)**

- A. Listees who fail to pay invoices shall have the seal(s) deactivated or suspended. The responsibilities defined in section 13.8 shall apply.

**13.8. Listee Responsibilities – Notification of Suspension/Involuntary Deactivation**

- A. The Listee shall be responsible to verify that as of the date of the suspension/deactivation of the ASSE listing, any products produced do not carry the ASSE Seal Logo.
- B. After receiving notification of suspension/deactivation of the ASSE listing, the listee shall make no misleading claims regarding the certification of the product during the time of the suspension. This includes but is not limited to specification sheets, advertising, packaging, websites, and other print or digital media.
- C. If an inventory of products produced prior to the date of suspension, carrying the ASSE Seal Logo, exists, the Listee shall not distribute inventory without permission of ASSE.

**13.9. Reinstatement of a Seal after Suspension**

- A. A listee shall have 30 days after being notified of a product's or seal's suspension or involuntary delisting to perform a permanent corrective action and submit evidence of it to the Product Listing Team.
- B. The Product Listing Team shall compile the documentation for evaluation. The Evaluator(s) shall make a recommendation to the reviewer to either reinstate or delist the product or listing based on their evaluation.
- C. If the reviewer determines that the product or seal must be delisted, the steps in 3 and 4 shall be followed.

## **14. INSPECTIONS FOR PRODUCT LISTING COMPLIANCE**

### **14.1. Compliance Inspections**

- A. The ASSE Product Listing Team or an independent agency contracted by ASSE shall conduct, at a minimum, an annual announced or unannounced inspection of all manufacturing facilities for all ASSE listed products. The inspection shall be conducted to ascertain that:
1. The listed manufacturing facility has an acceptable quality control system in conformance with Section 7.2 of these procedures and that the system is implemented per their Quality Control Manual.
  2. ASSE listed products display the proper markings as required by the applicable product standard, the ASSE Standard number and the ASSE Seal.
  3. No modifications have been made to the original listed product without prior written consent from the ASSE Seal Control Board.
  4. No unauthorized display of the ASSE Seal is being used.
  5. Inspections shall be conducted by qualified personnel as defined by ASSE and may be observed by a representative of an accreditation body.
  6. Inspections shall be conducted using personnel competent to ISO/IEC 17020 and 17021.
  7. Listees shall be billed for all costs incurred for the inspection unless written notice from the listee advises ASSE to direct billing to the manufacturer on record.
  8. Listee shall make all necessary arrangements for the auditor once ASSE's Product Listing Team or the independent agency has made first contact with the listee and provided the names of the individuals in the audit party, including justification of any observers or technical experts. Observers and technical experts shall not interfere or influence the audit.
  9. ASSE's Product Listing Team or the independent agency shall, upon request, provide a summary of each audit party member's background. ASSE's Product Listing Team or the independent agency shall inform the listee in advance if any additional observers will be present during the audit. The necessary arrangements shall include availability of requested documents and records, access to equipment, location(s), area(s), personnel, and if necessary, the same for the listee's sub-contractor(s).
  10. The factory audit report includes the audit plan.

### **14.2. Initial Inspections of New Manufacturing Facilities**

- A. To verify new manufacturing facilities are ready for an inspection, the Evaluator shall ensure the client is informed of audit requirements. Per ISO 17021-1 Section 9.3.1.2.2.b & c, this includes the following:
1. Reviewing the client's quality system documents per the requirements of ASSE's Factory Audit Report.
  2. Evaluating any site-specific conditions per discussion with the client, such as:
    - a. Security;
    - b. Parking;
    - c. Special or unique permissions to enter the facility.
  3. Reviewing the client's understanding of the scope of certification.

4. Deciding if the client is ready for a manufacturing facility audit, determining any corrective actions to resolve, and communicating that to the client.
- B. ASSE's Product Listing Team or an independent agency contracted by ASSE shall conduct an initial announced inspection for a manufacturing facility seeking product certification or for current listings with a new manufacturing facility location.
  - C. If the inspection is for a manufacturer seeking product certification, the inspection shall be conducted prior to the certification decision.
  - D. The inspection shall review whether the manufacturing facility has an acceptable quality control system in conformance with Section 7.2 of these procedures and that the system is implemented per the facility's quality control manual.
  - E. The following shall be inspected at each facility:
    1. Quality System Review in accordance with Section 9.3 of ISO 17021.
    2. Control of Materials:
      - a. Verify incoming materials in accordance with Section 9.3 of ISO 17021.
      - b. Calibration in accordance with Section 6.2 of ISO/IEC 17020.
    3. Inspection and Testing:
      - a. Product verification in accordance with Section 9.3 of ISO 17021.
      - b. Calibration in accordance with Section 6.2 of ISO/IEC 17020.
      - c. Seal usage in accordance with Section 8.3 of ISO/IEC 17021.
    4. Control of Non-Conforming Product in accordance with Section 9.4 of ISO/IEC 17021.
    5. Corrective and Preventive Action in accordance with Sections 8.7 and 8.8 of ISO/IEC 17020.
    6. Complaint Resolution in accordance with Sections 7.5 and 7.6 of ISO/IEC 17020.
  - F. The Product Listing Team shall analyze the manufacturing facility audit and decide whether the facility meets the requirements of the Seal Control Procedures.
  - G. An initial manufacturing audit may be found compliant if a current audit report is available from an ISO 17065 accredited certification body or if requirements of Transfer Applications per Section 23.2.B are met.

**14.3. Annual Inspection Procedures for Current Listed Manufacturing Facilities**

- A. During an inspection at all listed manufacturers' locations, ASSE inspectors shall perform the following functions, in addition to the requirements of Section 14.2.E:
  1. Review representative samples of the listee's product listing seals.
  2. Seals shall be selected randomly without prejudice of prior audit history.
  3. Samples shall be selected from the ASSE listed products in production on the day of inspection or from available inventory.
  4. For each seal inspected, the following sampling plan shall be followed by the ASSE inspector:

Number of Models in Seal	Number of Models to Inspect from Seal	Number of Units of Each Selected Model to Inspect from Seal
1-5 Models	1	1
6-15 Models	2	1
16 Models and over	3	1

- B. ASSE reserves the right to select additional seals if a reasonable suspicion exists that a listed model is not being produced in accordance with the ASSE Standard, Seal Control Procedures and/or Product Listing Contract. Such additional inspection would be above the random seal selection. Reasonable suspicion could arise from query into the legitimacy of a listing.
- C. If product is not available from the listee’s selected product listing seals, the inspector shall review product from the non-selected (“backup”) seals.
- D. If there are no listed products available to review, the Inspector shall note this on the Factory Audit Report.
- E. During the review of the selected samples, the auditor shall request a current bill of materials (or drawings, if applicable) to be sent to the Product Listing Team for review to confirm no unauthorized modifications have been made to the product.
- F. The inspector shall record all results and observations on the ASSE Factory Audit Report.
- G. The inspector shall ensure that each section of the Factory Audit Report is complete. The signed and dated Factory Audit Report shall be returned to the ASSE International Office within thirty (30) days of the inspection.
- H. The Product Listing Team shall review the completed Factory Audit Report and generate a letter to be sent to the listee with the results of the inspection.

**14.4. Retesting of Product Listings as Result of a Factory Audit**

- A. ASSE reserves the right to randomly select a model(s) for testing to the applicable section(s) of the standard from a series of models for each seal.
- B. The period for retesting shall not exceed five years.
- C. Inspectors shall select two sample(s) of the same model and size for retesting at the listee’s designated listed testing laboratory or complete in house testing to be witnessed by the ASSE Inspector provided the requirements of Section 14.9 of these procedures are met.

Number of Models in Seal	Number of Models to Select for Retest per Seal	Number of Units per Selected Model(s) for Retest
1-5 Models	1	Minimum 2
6-15 Models	2	Minimum 2
16 Models and over	3	Minimum 2

- D. For sample(s) to be forwarded to an ASSE listed testing laboratory, the ASSE inspector shall:
  1. Complete the Instructions for Testing for Audits form to be included with the selected sample(s).
  2. Tag the selected samples with a means to identify any tampering.
- E. The manufacturer/listee contact shall promptly forward one of the selected sample(s) to the listed testing laboratory by the best means available. The second sample shall remain at the factory as a back-up sample. If the manufacturer/listee contact is unable to forward the selected sample(s), they shall immediately notify the ASSE Product Listing Team, in writing, explaining the reason for the delay.
- F. If, during an annual inspection, samples are not available for the required testing, the listee shall be notified, in writing, that samples were not available and have the option of forwarding the required samples from the factory with a copy of the Instructions for Testing for Audits

form to a listed testing laboratory or the ASSE Product Listing Team will arrange the purchase of the required samples and forward the samples with a copy of the Instructions for Testing for Audits form to the listee's designated listed testing laboratory.

- G. All costs involved for the purchase and shipping of the samples by ASSE shall be the responsibility of the listee.
- H. Upon receipt, the listed testing laboratory shall perform testing on the sample(s) in accordance with the applicable section(s) of the standard, as noted on the Instructions for Testing for Audits form and the latest edition of the Seal Control Procedures.
- I. The listed testing laboratory and/or listee shall forward one copy of the completed Factory Audit Inspection Test Report form to the attention of the Product Listing Team and one copy to the listee.
- J. The Evaluator(s) shall evaluate the report for continued compliance.
- K. If the selected product(s) was found in compliance, the listee shall be notified, in writing and the record will be updated to reflect the new testing date.
- L. If the Factory Audit Inspection Test Report Form reveals that the products were found not in compliance with the standard, the procedures in Section 13.3 shall be followed.

#### **14.5. Two Categories of Product Failures**

- A. **Affected product(s)** - ASSE listed product that fails to meet the requirements of the applicable sections of the product standard during in house witness testing or at a listed testing laboratory. For further information regarding affected products, refer to Section 14.6.
- B. **Infringed product(s)** – non-conforming product or product that displays the ASSE Seal prior to receiving authorization. For further information regarding infringed products, refer to Section 14.7.

#### **14.6. Affected Product(s) Disposition**

- A. If the first sample of the selected ASSE listed product tested in-house or at an ASSE listed testing laboratory as part of an ASSE listing compliance inspection fails to comply with the applicable sections of the product standard(s), a second sample shall be tested.
- B. An evaluator from the product listing team shall take the following actions:
  - 1. Inform the listee of the failure of the 1<sup>st</sup> sample and request the backup sample be sent to the lab for testing.
  - 2. Request an explanation from the listee describing why the product failed.
  - 3. Record a corrective action describing the failure in ASSE Corrective Action Report (CAR) log.
- C. Should the second sample of the selected ASSE listed product fail the necessary retesting, the procedures as outlined in Section 13.3 shall be followed.
- D. Should a failure of the testing of the first selected ASSE listed product and passing of the second sample, the Evaluator will evaluate the test results and written explanation. The Evaluator may take any of the following actions based on their evaluation:
  - 1. Close the corrective action and allow the model to continue to be certified;
  - 2. Request additional testing;
  - 3. Suspend the model until additional testing is completed or additional explanation is provided.

#### **14.7. Infringed Products**

If any non-conforming products or non-listed products displaying the ASSE Seal are found during an annual inspection or through any other means, the following procedures shall be followed:

- A. All non-conforming products or non-listed products displaying the ASSE Seal shall be designated "infringed products."
- B. Immediately upon notification by ASSE, the manufacturer shall perform the following:
  - 1. Place on hold all quantities of the "infringed products" remaining in inventory.
  - 2. Within ninety days, recall all the "infringed products" that have been delivered to third parties.
  - 3. Remove the ASSE Seal from the non-conforming or non-listed product, both in-house and in the field.
  - 4. Schedule an inspection within 90 days from notification, both in house and at large, to ensure that the ASSE Seal has been removed from all applicable products.
  - 5. If the removal of the ASSE Seal from the "infringed product(s)" is not accomplished within 90 days, unless prior arrangements for an extension have been made with ASSE, ASSE shall contact legal counsel for violation of federal and/or state laws.

#### **14.8. Multiple Plants / Same Product(s)**

- A. Some manufacturers or listees fabricate the same model(s) and size(s) at more than one manufacturing location.
- B. Each manufacturing location shall require, at a minimum, an annual inspection per the procedures defined in Section 14.3.
- C. The product shall be retested per Section 14.4 for each manufacturing location.

#### **14.9. In-House Witness Testing Criteria**

- A. In-house witness testing shall be conducted under the supervision of a qualified ASSE representative along with a supervision from the listee such as the director of engineering, an in-house laboratory director or a manufacturer's factory representative.
- B. Qualifications of the ASSE representative (including subcontractors):
  - 1. ISO/IEC 17025 Training
  - 2. ISO/IEC 9001 Training
  - 3. Five years of experience in auditing and/or plumbing
- C. Capabilities of the manufacturing facility to conduct in-house testing to ASSE Standards should include:
  - 1. Personnel
  - 2. Equipment
  - 3. Records of maintenance and calibration
  - 4. Current copy of the applicable standard
- D. In-house witness testing should be arranged by the ASSE representative prior to the audit to ensure the testing equipment can be set-up and that the product is available.

#### **14.10. Corrective Action**

- A. If a deficiency is found during an inspection regarding the listed product(s) or the manufacturer's / listee's quality control system, the listee will be notified in writing by ASSE.
- B. The listee shall be responsible to submit corrective action or ensure that the manufacturer, if different than the listee, submits corrective action.
- C. All corrective actions shall be submitted to ASSE within 60 days from notification.
- D. If the necessary corrective action is not submitted by the deadline, ASSE shall notify the Listee that the Listee has 10 additional business days to submit the corrective action or arrange a timeline as agreed on.
- E. If the Listee has not responded within the 10 business days, the procedures in Section 13.5 shall be followed.
- F. Corrective actions shall be recorded and tracked in the issue log.

#### **14.11. Payment of Expenses (Infringed or Affected Products)**

The listee shall be invoiced for all costs incurred as a result of the unauthorized use of the ASSE Seal or product failures including, but not limited to, testing and additional follow-up inspections as determined by ASSE (including travel expenses and ASSE costs).

#### **14.12. Oversight of Inspection Body**

The Manager of Product Certification and Standards is responsible for the auditing activities stated in 14.

- A. ASSE or an ASSE-appointed representative shall conduct an initial audit of the inspection body. During the time of the audit, the auditor will review the inspection body's capabilities, quality control system, and personnel and ensure that the inspection body meets applicable requirements of ISO/IEC 17020 Sections 7.1 and 7.2.
  - 1. The inspection body shall be responsible for the audit's fees.
- B. The scope of the audit shall cover the standards within the scope of ASSE's accreditation that the inspection body desires to be able to inspect.
- C. As an alternative to Section 14.3 A, the inspection may show compliance by having an audit completed by an International Laboratory Accreditation Corporation (ILAC) signatory or the Standards Council of Canada (SCC). The report shall be sent from the ILAC accreditor or the SCC directly to the Manager of Product Certification and Standards.
- D. ASSE auditors and ASSE-appointed auditors who audit manufacturing facilities shall show evidence of competency to ISO/IEC 17020 Sections 7.1 and 7.2.
- E. The inspection body shall be responsible for the audit's fees.

#### **14.13. Competence of Independent Agencies as Inspection Bodies**

See 22of these procedures.

## **15. ASSE LISTED TESTING LABORATORIES**

### **15.1. Laboratory Applications**

- A. Testing laboratories or agencies seeking ASSE listing shall request in writing a laboratory application form.
- B. The laboratory shall submit to ASSE a copy of the Laboratory Listing Agreement, list of standards requested to be in their scopes of accreditation, resume(s) of laboratory personnel, equipment information, quality documents and manual, two laboratory evaluation report forms prepared by the laboratory, the Laboratory Capabilities List and application fee.
- C. Laboratories not indicating a qualified toxicologist on staff shall be required to include toxicology compliance from agencies that have a qualified toxicologist on staff for testing to the applicable toxicology standards.
- D. All new laboratory applications will be evaluated by the Technical Project Manager. The Technical Project Manager shall review the documentation for completeness.
- E. The Manager of Product Certification and Standards shall review the documentation to either approve or disapprove the laboratory as an ASSE listed testing laboratory for their scopes of accreditation to specific industry standards.
- F. If approved, the laboratory applicant shall be notified by a confirmation letter and a listing certificate. If disapproved, the laboratory applicant shall be notified in writing with rationale of the disapproval.
- G. Testing laboratories or agencies may not employ ASSE staff members. Previous relationships must be disclosed as a conflict of interest per Section 0.

### **15.2. Listed Testing Laboratory Requirements**

- A. The laboratory applicant and/or listed testing laboratories shall adhere to the ASSE Laboratory Listing Agreement.
- B. Annually, the status of the listed laboratories will be reviewed per section 15.4.
- C. A copy of any ISO/IEC 17025 certificate shall be kept on file and verified annually.
- D. Scope modifications or expansions shall be reviewed and approved by the Manager of Product Certification and Standards. The Manager of Product Certification and Standards will determine if the scope modification or expansion shall be granted prior to the next scheduled inspection. For example, if the laboratory already has an International Laboratory Accreditation Corporation (ILAC) signatory to ISO/IEC 17025 for the scope modification or expansion, granting approval prior to the next scheduled inspection is acceptable.

### **15.3. Listed Testing Laboratory Audits**

- A. ASSE or an ASSE-appointed representative shall conduct an initial laboratory audit. During the time of the audit, the auditor will review the laboratory's capabilities, quality control system and personnel and ensure that the laboratory meets applicable requirements of ISO/IEC 17025.
- B. The laboratory shall be responsible for the audit fees.
- C. The scope of the audit shall cover the ASSE and other industry standards that the lab desires to be capable of performing.



- D. Laboratories shall be audited annually after the initial audit.
- E. As an alternative to 15.3.A-D, the laboratory may show compliance by having an audit completed by an International Laboratory Accreditation Corporation (ILAC) signatory to ISO/IEC 17025. The report shall be sent from the ILAC accreditor directly to the Product Listing Team or downloaded from the ILAC accreditor website. The scope of the laboratory accreditation must include all standards the lab desires to be capable of performing. A copy of the ISO/IEC 17025 certificate shall be kept on file and verified annually. If the certificate expires within the next 18 months, an automatic notification (4 weeks prior to the expiration) shall be set up to prompt the PLP team to; 1) ensure the laboratory has taken necessary steps to renew its certification prior to expiration or, 2) notify the Laboratory that it will be removed from the recognized laboratory list on the date of expiration.
- F. After the audit, the Product Listing Team will review the selected Evaluator(s)'s evaluation of the listed testing laboratory's capabilities, quality control system, personnel and validates that the listed testing laboratory meets the applicable requirements of ISO/IEC 17065 and ISO/IEC 17025, current editions.

#### **15.4. Laboratory renewal**

- A. At the beginning of each year, the status of the listed laboratory files will be reviewed by the Product Listing Team. This review includes:
  - 1. For laboratories which are accredited (by an ILAC-MRA signatory Accreditation Body) for the scope for which ASSE has recognized, verification of continued accreditation, to the current edition ISO 17025,
    - a. If the Laboratory's certificate of accreditation is to expire within the next 18 months, ensure the laboratory has taken necessary steps to renew its certification prior to expiration by:
      - i. Including a statement in the renew invoice letter, "Our records indicate that your accreditation to ISO 17025 is due to expire in the next 18 months. Please advise of the status of you accreditation and any scheduled accreditation assessments to maintain that accreditation."
      - ii. Notify the Laboratory that it will be removed from the listed laboratory list on the date of expiration.
      - iii. Set an electronic task reminder (i.e. outlook task) to prompt the PLP team to check on the status 4 weeks prior the expiration date.
      - iv. If the laboratory's accreditation to ISO 17025 lapses, a full laboratory audit to ISO 17025 will be required prior to accepting any test date from that laboratory. Until such time the laboratory is suspended.
  - 2. Verify the laboratory has successfully completed an ASSE Laboratory audit, except as provided in 15.3 E, in the past 12 months.
  - 3. Review any outstanding findings/non-conformances.
  - 4. Review any actions required of the laboratory for the adoption of a new revision for the standards within the laboratory's ASSE scope.

5. Generate renewal invoice letter, document *RIL- renewal invoice letter (template)*.  
Include in this report any outstanding items identified above.

6. The Renewal invoice letter shall accompany the invoice for the ASSE Listed Laboratory renewal.

- B. Upon receipt of payment, a renewal certificate will be sent to the listed testing laboratory which includes an addendum showing the scope of testing for which the ASSE certificate is valid.
- C. The PLT shall identify which standards within each laboratory's scope are to be included in the next annual Laboratory standards.
- D. The PLT shall provide the auditors the list of standards to be included in the audit.

### **15.5. Testing and Reporting**

- A. For obtaining product listings through ASSE, testing shall be performed by an ASSE recognized testing laboratory or a laboratory that is accredited by an ILAC signatory with the applicable standard in its accredited scope that has been approved by the Executive Director.
- B. The listed testing laboratory shall complete the ASSE laboratory report for testing to ASSE International standards for those applicants seeking ASSE product(s) listing. Passing laboratory reports in the laboratory's format shall be submitted for all other standards and transfer applications included in ASSE's certification scope.
- C. All laboratory reports and Factory Audit Inspection Test Report forms completed by an independent listed testing laboratory shall be signed.
- D. All laboratory reports and Factory Audit Inspection Test Report forms completed by a manufacturer's in-house listed testing laboratory shall include a signature of an authorized representative of the company supervising the evaluation.
- E. Original, or scanned, digital copies of the laboratory report shall be submitted to the Product Listing Team as required in Section 3.1.A.1.

### **15.6. Laboratory Performance**

- A. Should the Evaluator(s), Product Listing Team, or a Seal Control Board member notice a significant technical error on a laboratory report, a warning letter regarding the error will be sent to the listed testing laboratory.
- B. If a second error is found on another report, a second warning letter shall be sent to the listed testing laboratory.
- C. Should a third error be found, the Manager of Product Certification and Standards with reasoning from the Product Listing Team shall remove the laboratory as an ASSE listed testing laboratory.

The listed testing laboratory shall be removed as an ASSE recognized testing laboratory, letter of notification will be sent to the laboratory. A notice shall be posted in the *ASSE eNewsletter* and on the ASSE website. All listees will receive a notification of the current list of listed laboratories.

### **15.7. Re-listing Procedures for Removed Laboratories**

- A. A laboratory shall wait six months from the date of notification of removal before filing a new application to become re-listed as an ASSE listed testing laboratory.
- B. The laboratory shall be responsible for a new application fee, a re-inspection fee, and all expenses for performing the audit.
- C. In addition to following Section 15.1, the laboratory shall provide evidence of corrective action and/or preventative action which was implemented in order to address the issues which led to the removal of their listing.
- D. After ballot by the Plumbing Testing Laboratory Committee, the laboratory will be notified of the status of their application.
- E. Should a significant technical error occur within one year, the laboratory will be removed as an ASSE listed laboratory.
- F. Should a laboratory request to be removed as an ASSE listed testing laboratory, the lab shall be removed as an ASSE listed laboratory.

### **15.8. Complaints Regarding ASSE Listed Testing Laboratories**

- A. All complaints about an ASSE listed testing laboratory shall be submitted in writing to the Product Listing Team with supporting evidence for the complaint.
- B. The complaint shall be added to the CAR datasheet.
- C. Should ASSE receive or issue a written complaint regarding performance of a listed testing laboratory, the listed testing laboratory will be notified in writing that a complaint has been received regarding the listed testing laboratory's performance and the nature of the complaint.
- D. The letter should request the listed testing laboratory to provide evidence of internal audits, management reviews and evidence of how the requirements of ISO/IEC 17025 and the ASSE Seal Control Procedures are being implemented.
- E. The listed testing laboratory will be requested to provide evidence of conformance to their Quality Control Manual and evidence of corrective and/or preventative action(s) performed to address the complaint.
- F. The listed testing laboratory will have 60 days from the date of notification to submit the required information. If the requested information is not submitted within the 60 days, the listed testing laboratory shall be removed as an ASSE listed testing laboratory.
- G. The complainant's information shall be kept confidential.

### **15.9. Corrective Action for Listed Testing Laboratories**

- A. If a non-conformity is found during an inspection of a listed testing laboratory or of the listed testing laboratory's system, the listed testing laboratory will be notified in writing by the Product Listing Team.
- B. The listed testing laboratory shall be responsible to submit corrective action.
- C. All corrective actions shall be submitted within 60 days from notification.
- D. All corrective actions shall be evaluated by the Product Listing Team.
- E. The Product Listing Team shall determine if the corrective action satisfies the non-conformity.

- F. If the Product Listing Team determines that the corrective action is satisfactory, the listed testing laboratory shall be notified that the corrective action has been accepted and the non-conformity has been closed out.
- G. If the Product Listing Team determines further information is needed, the listed testing laboratory shall be notified.
- H. If the necessary corrective action is not submitted by the deadline, the listed testing laboratory shall be notified that the necessary corrective action was not submitted by the required due date and that the listed testing laboratory has 10 additional business days to submit the corrective action or arrange a timeline as agreed on to submit the corrective action.
- I. If the listed testing laboratory has not responded within the 10 business days or by the timeline agreed upon, the laboratory will be removed as an ASSE listed testing laboratory. For re-instatement as an ASSE listed testing laboratory, the procedures in Section 15.7 A-D shall be followed.

#### **15.10. Testing Subcontracted Out by the ASSE Listed Testing Laboratory**

- A. At times, an ASSE listed testing laboratory may need to subcontract out certain portions of the applicable testing to another laboratory.
- B. When conducting testing for ASSE, prior to subcontracting to another laboratory, the ASSE listed testing laboratory shall ensure that the subcontracted laboratory meets the requirements of ISO/IEC 17025.
  - 1. If the subcontracted laboratory is ISO/IEC 17025 accredited by a recognized signatory of the International Laboratory Accreditation Cooperation (ILAC), the ASSE listed testing laboratory shall provide the current accreditation certificate to ASSE.
  - 2. If the subcontracted laboratory does not have nationally recognized accreditation to ISO/IEC 17025, ASSE shall audit the subcontracted laboratory to confirm compliance to the applicable requirements of ISO/IEC 17025. All costs involved for this audit will be billed to the ASSE listed testing laboratory.
- C. All evaluation or testing subcontracted out by the laboratory shall be supervised by an official of the laboratory overseeing the evaluation and testing of the applicable product.
- D. When testing is subcontracted, the ASSE listed testing laboratory shall include, along with the Laboratory Evaluation Report or Factory Audit Inspection Test Report, a separate document that includes the following information:
  - 1. Name of subcontracted laboratory;
  - 2. Name of ASSE listed laboratory responsible party supervising the testing;
  - 3. Explanation of why the testing was subcontracted;
  - 4. List of tests performed;
  - 5. List of equipment used for testing at the subcontracted laboratory;
  - 6. Evidence that the ASSE listed testing laboratory verified subcontracted laboratory acceptance with ASSE.

## **16. ASSE SEAL CONTROL BOARD MEMBERSHIP**

### **16.1. Membership**

- A. The Seal Control Board is defined in ASSE's Organizational Policies. The Seal Control Board shall be an ASSE Standing Committee consisting of the following A minimum of 8 voting members from ASSE International Membership (No more than five members vote on each application.)
- B. A non-voting Product Listing Team representative.

### **16.2. Prohibitions to membership**

The following are prohibited from being a voting Member:

- A. Contractors or sub-contractors of ASSE,
- B. ASSE Staff,
- C. IAPMO Staff,
- D. IAPMO PCC members.

### **16.3. Terms of Appointment**

Length of appointment shall be in accordance with the ASSE By-Laws.

### **16.4. Classification of Membership**

- A. The Seal Control Board voting membership shall consist of a cross section of the plumbing industry. Members shall be ASSE members in good standing.
- B. Classification of membership may include, but not be limited to, the following:
  - 1. Plumbing Inspector - Shall be certified or licensed by a recognized regulatory agency.
  - 2. Plumbing Contractor - Shall be a licensed plumbing contractor in possession of a current plumbing license.
  - 3. Plumbing manufacturer or their direct factory or sales representative or independent sales representative.
  - 4. Engineer who is a Registered or Licensed Professional Engineer, or is a Registered or Licensed Plumbing Engineer, or who has satisfactory engineering experience.
  - 5. Educator / Trainer – shall be employed by a school or training center related to plumbing.
  - 6. A representative of the ASSE general membership.
  - 7. Every effort shall be made to limit 1 voting category per ballot.

### **16.5. Authorization**

ASSE shall have documentation of the appointment of seal control members. By this appointment seal control members are authorized for involvement in the certification process.

### **16.6. Selection of Seal Control Board Chairperson and Vice-Chairperson**

At the ASSE Annual Meeting, the Seal Control Board shall recommend to the Board of Directors current members to serve as Chairperson and Vice-Chairperson for the coming year.

### **16.7. Responsibilities of Chairperson**

The Seal Control Board Chairperson shall chair all regular meetings of the Seal Control Board.

### **16.8. Vice-Chairperson**

If the Seal Control Board Chairperson is unable to perform the duties as described, the Vice-Chairperson shall act in the capacity of the Chairperson.

### **16.9. Liaison/Product Standards Committee**

- A. At the ASSE Annual Meeting, the Seal Control Board shall recommend to the Chairperson a current member to serve as Seal Control Board / Product Standards Committee Liaison.
- B. The Seal Control Board / Product Standards Committee chair or designated representative shall present at the Annual and Mid-Year Product Standards Committee Meetings all correspondence directed to the Seal Control Board which requires direction from the Product Standards Committee.
- C. The Representative shall report all rulings from the Product Standards Committee back to the Seal Control Board either directly at the meetings or through written correspondence.

## **17. ASSE SEAL CONTROL BOARD DUTIES AND PROCEDURES**

### **17.1. Member Responsibilities**

- A. Each member shall have the responsibility to apply extreme care and diligence to the listing process, to assure that the review of an application is conducted properly and to the best of their ability using the applicable product standard, the laboratory report and the applicable documentation submitted from the Evaluator.
- B. Each member shall refrain from giving advice or provide consultancy services to the applicant as the methods of dealing with matters which are barriers to the certification requested.
- C. Each member shall refrain from voting on applications that are of the same type of product that the member supplies or designs to avoid a conflict of interest. Prior to voting on a seal application, the member shall make a conscious decision as to whether voting on the ballot would risk ASSE's impartiality.
- D. Each member shall be responsible for attending the ASSE Annual Meeting and the ASSE Mid-Year Meeting unless prior, written notice is forwarded to the Product Listing Team or the International President stating the reason(s) for not attending. The International President shall be notified when a member fails to attend three consecutive meetings without prior notice to either the Product Listing Team or the International President.

### **17.2. Seal Control Board Training**

- A. Each Seal Control Board member and supporting staff shall have a training record.
- B. Training shall be conducted on ASSE Standards, other referenced standards, and procedures by a person(s) qualified on the specific area of instruction.
- C. The training shall be recorded on the Seal Control Board member's training record and the record shall be maintained in the member's file at the International Office until such time as they voluntarily or involuntarily leave the Seal Control Board.
- D. Training shall be conducted for Seal Control Board Members at the Mid-Year and Annual meetings.
- E. The topics, content, and materials of the semi-annual training shall be determined and provided by the Product Listing Team to Seal Control Board members.
- F. New Seal Control Board members shall be given copies of the latest revisions of the Seal Control Procedures, ASSE International By-Laws, and all current ASSE product standards by the Product Listing Team.

### **17.3. Disclosure of Confidential Materials**

- A. Members of the Seal Control Board shall not disclose the contents of an application, modification request, testing results, complaint, appeal, dispute, or audit due to the confidential nature of the material.
- B. Violation by any member of the Seal Control Board shall result in their immediate dismissal from the Seal Control Board.
- C. When ASSE or Seal Control Board members are subpoenaed to disclose information regarding product listings or potential product listings, the applicant or listee shall be informed of the information provided as permitted by the law.

#### **17.4. Destruction of Listing Materials**

Each member, upon leaving the Seal Control Board, shall destroy listing materials previously reviewed.

#### **17.5. Meetings**

- A. The Seal Control Board shall hold two regular meetings each year. One meeting shall be held at the ASSE Annual Meeting and one meeting at the Mid-Year Meeting.
- B. The Seal Control Board may conduct special meetings in person or via teleconferences.
- C. A minimum of one member of the Product Listing Team shall attend all meetings of the Seal Control Board.
- D. The meetings may be open to members, clients, and any interested parties.
- E. An agenda item at each meeting will be to review any instances of actual, perceived, or potential conflicts of interest observed since the last meeting, the actions taken, and potential recommendations to procedural changes.

#### **17.6. Voting**

- A. Voting on all matters other than balloting and voting explained in Section 4.2 shall be a majority vote.
- B. The method of voting shall be at the discretion of the Seal Control Board Chairperson.

#### **17.7. Conflict of Interest**

- A. Each voting member of the Seal Control Board shall, on each ballot, declare whether there exists a conflict of interest.
- B. The Conflict of Interest statement shall read as follows:
  - 1. "I declare under penalty of perjury that I have no conflict of interest with the above issue and that I am eligible to vote on the above issue," or
  - 2. "I have no conflict of interest on the above issue, but I have personally decided to abstain," or
  - 3. "I have a conflict of interest on the above issue that prevents me from voting on the above issue and, therefore, I abstain."

#### **17.8. Failure to Declare**

If it is discovered that a Seal Control Board member fails to declare a conflict of interest exists, the ballot shall be considered as a non-returned ballot.

#### **17.9. Abstention**

The Seal Control Board member shall indicate, on the ballot, the reason or circumstance necessitating the abstention. Abstention shall be for cause and not for delay.

#### **17.10. Negative Ballots**

- A. Negative ballots shall include, in writing, comments referencing the applicable section(s) of the standard or supporting documentation for the negative vote.
- B. Editorial comments and opinions are not cause for a negative vote of the product listing.



### 17.11. Tentative Ballot

Where there is a question(s) or comment(s) which will not affect the performance of the product but require answers for the record, the voting member shall indicate a tentative vote. The question(s) or comment(s) shall be stated on the ballot.

### 17.12. Correspondence

Correspondence from ASSE staff to applicants and listees shall be categorized as administrative, technical clarification or seal action and shall be signed by the person listed as follows:

- A. Administrative Correspondence: That which pertains to the procedures for filing an application, housekeeping (documentation verification and day to day correspondence) - by the Product Listing Team.
- B. Technical Clarification Correspondence: That which pertains to the verification of test reports, product certification, documented prints or any item that requires clarification concerning markings, toxicity, installation instructions and spare parts lists - by the Product Listing Team.
- C. Seal Action Correspondence: That which directly affects the listing, suspension or delisting of a product authorized to display the ASSE Seal - by the Product Listing Team under signature of the Executive Director.

### 17.13. Revisions to Procedures

- A. A complete review of the *Seal Control Procedures* shall be conducted at least annually.
- B. Proposed revisions shall be submitted in writing to the Manager of Product Certification and Standards. ASSE International staff, members, manufacturers, and individuals associated with the plumbing industry may request revisions.
- C. All requests for revisions will be reviewed by the Manager of Product Certification and Standards and will result in a recommendation implemented into the *Seal Control Procedures* in legislative format of underline text to be added and strikethrough text to be removed.
- D. The revised *Seal Control Procedures* in legislative format with reasons for non-obvious revisions will be circulated to affected staff members for peer review. Revisions not affecting the technical content (i.e. typos, grammar, etc.) will not require peer review. It is understood that some documents are required to be reviewed by legal counsel prior to approval and acceptance.
- ~~E.~~ All revisions made to these Procedures including appendices shall require approval from the Executive Director. Each appendix shall have a date of revision and may be revised without revision of the procedure. Any revisions as per the responsibilities of the Seal Control Board shall be approved by the Board of Directors.
- F. Any revisions that affect the status of listed products shall require notification to the listee at least 30 days prior to the implementation date. The notification can be through press releases, posting on the ASSE webpage or in ASSE eNewsletters or industry magazines.
- G. Following approval of the document, a revision date is assigned, and the Controlled Document Master List spreadsheet will be updated.

## **18. FEES**

### **18.1. Fees**

- A. ASSE maintains a system of fees for work performed and related expenses incurred.
- B. The fee structure is available upon written request to the Product Listing Team.

### **18.2. Payments**

- A. All invoices shall be paid as per the stated terms.
- B. Invoices thirty (30) days past due may be charged an additional late fee.
- C. Past due accounts shall be cause for involuntary delisting of the product listing(s).

## **19. PRODUCT LISTING AND LABORATORY RECORDS**

### **19.1. Access to Product Listing Records**

- A. ASSE Staff members involved in the Product Listing Program shall have unrestricted access to the product listing and laboratory files.
- B. ASSE Seal Control Board and Board of Directors members who do not have a conflict of interest with the manufacturers or laboratory's shall have access to the product listing or laboratory records in the presence of an ASSE Staff member involved in the Product Listing Program only with the written approval of the Executive Director and ASSE's Legal Counsel.
- C. For the purpose of continued compliance for ANAB and SCC accreditation, ANAB and SCC auditors shall have supervised access to the files after approval from the Executive Director and in the presence of an ASSE Staff member who is involved in the Product Listing Program.
- D. Situations may arise in which a representative from a regulatory authority may request access to a product listing or laboratory record. Such requests shall be made in writing to ASSE with rationale as to why access to the record is being requested. Access shall only be granted after notification has been made to the listee or laboratory and written permission has been obtained from the listee or laboratory. An ASSE staff member involved in the Product Listing Program shall be present during the review. No copies from the product listing record shall be taken from the ASSE International Office.
- E. Parties reviewing product listing or laboratory records as explained in Sections 19.1 C & D may be required to sign a non-disclosure agreement.
- F. ASSE Inspectors shall be provided information as determined by the Product Listing Team for the purpose of conducting a factory audit.
- G. Copies of a listee's or laboratory's application materials may be forwarded by the Product Listing Team upon written request only from the contact person on record and/or his/her designee.
- H. If ASSE records are being subpoenaed, the listee or laboratory shall be contacted prior to the information being released or reviewed.
- I. Product listing or laboratory files shall not be supplied to any person or organization outside of the listed company or laboratory unless written permission is granted by the listee or laboratory.

### **19.2. Active Product Listing and Laboratory Records**

- A. Active listee records include any records which have a current product listing.
- B. Active laboratory records include any records which are part of a currently listed testing laboratory.
- C. Active records are kept for the duration of the listing at the ASSE International Office.

### **19.3. Inactive Product or Laboratory Listing Records**

- A. The records are moved to an inactive status in the event of either a voluntary or involuntary removal of the product listing or listed testing laboratory.
- B. Records that have been inactivated shall be retained for a period of seven years.

- C. At the completion of the seven-year period, the manufacturer or laboratory shall have the option of having the files returned at their expense. Otherwise, ASSE shall destroy or retain the files.

**19.4. Suspended Product Listing Records**

- A. Suspended records are maintained with the active files until such time as the product listing or laboratory is moved to inactive status.

## **20. ADDITIONAL REQUIREMENTS FOR THE CANADIAN MARKET**

### **20.1. Introduction**

There are additional requirements as set forth in *Requirements and Guidance - Product, Process, and Service Certification Body Accreditation Program* that are unique to operating in the Canadian market. Those requirements as applied to ASSE are stated below.

### **20.2. Scopes of Listings**

- A. Listing of products to standards in Appendices C and D shall only be valid for those standards, Listing Evaluation Criteria (LEC)'s, or other normative documents that have been recognized by a Canadian Regulatory Authority. This listing shall be recognized in regulated areas.
- B. ASSE may list a product to a National Standard of Canada or to a standard developed in accordance with ISO/IEC 17007 if they are stated in Appendices C and D. This listing shall be recognized in unregulated areas.

### **20.3. ASSE Seal and cASSE Seal Use in Canada**

Display of the seals in Canada follows the same requirements as described in 6.

### **20.4. Knowledge of Canadian Standards, ORD's, and Regulations**

The Product Listing Team or their designee shall maintain a comprehensive knowledge of regional, national, and international standards and certification. The Product Listing Team or their designee shall also maintain up-to-date knowledge of Canadian recognized standards, ORD's, and regulations. Contracted employees will attend meetings with Regulatory Authorities as required.

### **20.5. Compliance to Canadian Regulatory Authorities**

- A. When necessary, as deemed by and informed by Canadian Regulatory Authorities, ASSE shall comply with those requirements as applicable to the scope of accreditation while operating within Canada.
- B. The Manager of Product Certification and Standards is responsible for this activity.

## **21. TRAINING & COMPETENCE TO STANDARDS AND LEC'S**

### **21.1. Introduction**

When a new ASSE International standard or LEC is released, or when there exists a standard in the market that ASSE International's Executive Director decides to certify to, competent personnel shall be available in order to perform the review, evaluation, and certification decision for a given product.

### **21.2. Management of Competency**

- A. The Manager of Product Certification and Standards is responsible for determining the criteria of competence, identifying staff training needs, authorizing personnel, and monitoring the performance of the Seal Control Board members and PLT staff. The Executive Director is responsible for the same for the Manager of Product Certification and Standards.
- B. A list of required competencies for each position is maintained by the Manager of Product Certification and Standards and the Executive Director.
- C. During annual reviews and/or after training, a demonstration of competence shall be assessed by reviewing previous work or a test.

### **21.3. Seal Control Board**

Training the Seal Control Board is covered in Section 17.2.

### **21.4. Adding ASSE Standards and LEC's to ASSE International's Scope of Certification**

The Manager of Product Certification and Standards is involved in all ASSE standards development activities. The Product Listing Team shall develop training materials in order to train the Seal Control Board to the standard or LEC.

### **21.5. Adding non-ASSE Standards and LEC's to ASSE International's Scope of Certification**

The Manager of Product Certification and Standards shall recommend what the required competencies are for evaluating, reviewing, and deciding certification of a product to a standard that is not developed by ASSE. The Product Listing Team will then develop training materials in order to train staff.

### **21.6. Justification**

ASSE shall maintain a record of the justification of the decision for ASSE to certify products to any standard within its scope of certification (see Appendices C and D). The Executive Director shall make the decision to list. If the required competence and capabilities to certify products is unavailable, the decision shall be to decline adding the standard to the scope of certification until the required competence and capabilities are available to ASSE.

## **22. TRAINING & COMPETENCE OF THE INSPECTION BODY**

### **22.1. Introduction**

ASSE International uses a member of the Product Listing team or outsourced independent agency/agencies to perform laboratory and manufacturing facility audits. All records pertaining to audits for ASSE shall be made available to the Product Listing Team.

### **22.2. Evaluation of Inspection Body Records**

- A. ASSE shall ensure that the inspection body's personnel's factory and laboratory evaluations are credible. Each individual auditor, whether employee or sub-contractor, shall have a document(s) and/or evidence that state(s):
  - 1. Their name and address;
  - 2. Their employer and position held;
  - 3. Their educational qualifications and professional status;
  - 4. Their experience and training;
  - 5. Their supervisor's assessment of competence;
  - 6. Results of performance monitoring by their supervisor (e.g. written or oral evaluations, review of previous audit documentation, mock audits, etc.);
  - 7. The date the document was updated.
- B. When the auditor's supervisor identifies training needs in order to meet competency requirements, they shall be recorded and reassessed during the next annual review or earlier. ASSE will supply training and training materials to the inspection body as required.

### **22.3. Criteria for Competency**

- A. The criteria for competence of manufacturing facility auditors is:
  - 1. Satisfactory evaluation of the auditor during the annual inspector training session;
  - 2. Satisfactory evaluation of a Factory Audit Report from the last 12 months;
- B. The criteria for competence of laboratory auditors is:
  - 1. Satisfactory evaluation of the auditor during the annual inspector training session;
  - 2. Satisfactory evaluation of a Laboratory Audit Report from the last 12 months;

### **22.4. Authorization of Personnel**

The Manager of Product Certification and Standards shall authorize the personnel to inspect facilities per the applicable requirements of ISO/IEC 17020 and 17021, laboratories per the applicable requirements of ISO/IEC 17025, or both.

### **22.5. Inspections during Emergency Situations**

An emergency situation is defined as a situation when a routine in-person inspection cannot be conducted due to unsafe conditions at a facility due to natural disasters (hurricanes, tsunamis, earthquakes, etc.) and/or, other potentially devastating situations such as, but not limited to, pandemic diseases, threats of terrorism, geopolitical tension, crippling labor strikes. ASSE audit subcontractors and the Product Listing Team shall be allowed to conduct remote inspections during

emergency situations. As an example, IAPMO R&T has created its R-072-B procedure for conducting remote inspections.



## **23. TRANSFER APPLICATIONS AND SECONDARY REVIEWS & DECISIONS**

This section describes the full transfer application process.

### **23.1. Transfer Application Submittal**

- A. The transfer application shall include evidence of current, non-expired certification of the product sent from a certification body accredited to ISO 17065 by an International Accreditation Forum (IAF) signatory. It shall also include all the items requested in Section 3.1.A.2.
- B. For cases where the transfer is only for a Canadian cASSE listing in addition to an existing ASSE listing, it is at the Evaluator(s)'s discretion to require assembly or individual detailed drawings.

### **23.2. Evaluation of Transfer Applications**

- A. The Evaluator(s) shall:
  - 1. ensure that ASSE has the technical expertise for the certification review of the application submitted;
  - 2. verify the documents application package is complete;
  - 3. evaluate the documents as submitted by the applicant including, but not limited to, laboratory report, certifications, drawings, markings, verification of compliance for toxicity requirements (if applicable), installation instructions and spare parts lists;
  - 4. evaluate and confirm any proposed bracketing by the applicant.
- B. An inspection of the manufacturing facility prior to listing is not required. It is assumed that the currently accredited certification body is performing inspections per ISO 17020 and 17021. A continued compliance inspection shall be completed within one year of listing.
- C. If the applicant seeking certification with ASSE is different from the entity which owns the existing certification upon which the proposed transfer is based, the applicant shall provide:
  - 1. A letter of authorization from the owner of the existing listing allowing the applicant use of test reports and supporting data (as defined in 3.1) related to the product(s) being considered for transfer.
  - 2. Copies of such data for all models to be transferred. ASSE has the right to request the product be tested partially or completely to the standard.
- D. The process shall continue with a review and decision per sections 3.7 and 3.8, respectively.

## APPENDIX A – APPLICATION CONFIRMATION

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[Approved: 8OCT21]

Appendix A is intended to serve as a guideline for the ASSE Seal Control Board member and staff members to follow while confirming an application and actions upon completion. It is also intended for the applicant/listee to see what steps are taken by the Seal Control Board member, including the selected Evaluator(s) and Product Listing Team, during the review process.

- A. The Evaluator(s) shall verify that the product(s) has been tested to the current revision of the applicable product performance standard.
- B. The Product Listing Team shall verify that the testing agency is one of the ASSE listed testing laboratories.
- C. The Evaluator(s) shall verify that the laboratory report submitted conforms to the applicable product standard by comparing dates, paragraph numbers and descriptions of test procedures.
- D. The Evaluator(s) shall evaluate and verify that all items in the applicable laboratory report have been completed by the listed testing laboratory and the report is signed by an official of the laboratory.
- E. The Reviewer shall review the work of the Evaluator and the application package.
- F. If any item(s) in the applicable laboratory report indicates noncompliance or is unanswered without appropriate comments, the application shall be disapproved. The Reviewer shall note to the Evaluator the reason(s) for the disapproval.
- G. If any item on the applicable laboratory report is marked "questionable" and the item has not been addressed by the Evaluator(s) prior to submittal to the Reviewer, the Reviewer shall request through the Evaluator(s) the reason(s) why the item was so designated from the applicant or the listed testing laboratory.
- H. Each voting member of the Seal Control Board shall confirm whether all items in the applicable laboratory report are complying prior to the work completed by the Reviewer.
- I. The ballot shall be returned to the member who voted if there is a pending interpretation administered by the ASSE Seal Control Board Chairperson or the Product Standard Committee Chairperson. The member shall be notified of the results of the interpretation and be given a re-ballot.
- J. Editorial comments and opinions shall not influence the decision on an ASSE ballot. If a voting Seal Control Board member wishes to submit an editorial comment or opinion, it shall be submitted in a separate letter.
- K. If a voting Seal Control Board member wishes to have the editorial comment or opinion addressed, the member shall request that the editorial comment or opinion be placed on the agenda at the next Seal Control Board Meeting, provided the request is submitted at least 60 days prior to the scheduled meeting.

Approved: \_\_\_\_\_

## APPENDIX B – COMMUNICATIONS

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[Approved: 8OCT21]

- A. All written communications, including e-mail and facsimiles, shall be maintained with the applicant's records. Dates of notifications shall be as stated on the communications, unless otherwise noted.
- B. Applications, documents, drawings (if applicable), ballots and written letters shall be forwarded to the voting members of the Seal Control Board electronically.

Approved: \_\_\_\_\_

## APPENDIX C – ASSE PRODUCT STANDARDS ADOPTED

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[Approved: 8OCT21]

The following is a list of ASSE Product Standards to which a manufacturer may obtain ASSE certification. The list applies to the current edition of the referenced standards, unless otherwise noted:

- ASSE 1001 - Atmospheric Type Vacuum Breakers
- ASSE 1003 Water Pressure Reducing Valves for Domestic Water Distribution Systems
- ASSE 1004 Backflow Prevention Requirements for Commercial Dishwashing Machines
- ASSE 1006 Residential Use Dishwashers
- ASSE 1007 Home Laundry Equipment
- ASSE 1008 Plumbing Aspects of Residential Food Waste Disposer Units
- ASSE 1009 Commercial Food Waste Grinder Units
- ASSE 1010 Water Hammer Arresters
- ASSE 1011 Hose Connection Vacuum Breakers
- ASSE 1012 Backflow Preventers with Intermediate Atmospheric Vent
- ASSE 1013 Reduced Pressure Principle Backflow Preventers Assemblies
- ASSE 1014 Backflow Prevention Devices for Hand-Held Showers
- ASSE 1015 Double Check Backflow Prevention Assemblies
- ASSE 1017 Temperature Actuated Mixing Valves for Hot Water Distribution Systems
- ASSE 1018 Trap Seal Primer Valves – Potable Water Supplied
- ASSE 1019 Wall Hydrant with Backflow Protection and Freeze Resistance
- ASSE 1020 Pressure Vacuum Breaker Assembly
- ASSE 1021 Drain Air Gaps for Domestic Dishwashers Applications
- ASSE 1022 Backflow Preventer for Beverage Dispensing Equipment
- ASSE 1023 Hot Water Dispensers Household Storage Type - Electrical
- ASSE 1024 Dual Check Valve Backflow Preventers
- ASSE 1030 Positive Pressure Reduction Devices for Sanitary Drainage Systems
- ASSE 1032 Dual Check Valve Type Backflow Preventers for Carbonated Beverage Dispensers, Post Mix Types
- ASSE 1035 Laboratory Faucet Backflow Preventers
- ASSE 1044 Trap Seal Primer Devices - Drainage Type and Electronic Design Types
- ASSE 1047 Reduced Pressure Detector Backflow Prevention Assemblies
- ASSE 1048 Double Check Detector Prevention Assemblies
- ASSE 1049 Individual and Branch Type Air Admittance Valves for Chemical Waste Systems
- ASSE 1050 Stack Air Admittance Valves for Sanitary Drainage Systems
- ASSE 1051 Individual and Branch Type Air Admittance Valves for Sanitary Drainage Systems
- ASSE 1052 Hose Connection Backflow Preventers
- ASSE 1053 Dual Check Backflow Preventer Wall Hydrants - Freeze Resistant Type
- ASSE/IAPMO 1055 Chemical Dispensing Systems

Approved: \_\_\_\_\_

APPENDIX C – ASSE PRODUCT STANDARDS ADOPTED

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[Approved: 8OCT21]

ASSE 1056	Spill Resistant Vacuum Breaker
ASSE 1057	Freeze Resistant Sanitary Yard Hydrant with Backflow Protection
ASSE 1060	Outdoor Enclosures for Fluid Conveying Components
ASSE 1061	Push-Fit Fittings
ASSE 1062	Temperature Actuated, Flow Reduction (TAFR) Valves for Individual Fixture Fittings
ASSE 1063	Air Valve & Vent Intake Preventer
ASSE 1064	Backflow Prevention Assembly Field Test Kits
ASSE 1066	Individual Pressure Balancing In-Line Valves for Individual Fixture Fittings
ASSE 1069	Automatic Temperature Control Mixing Valves
ASSE 1071	Temperature Actuated Mixing Valves for Plumbed Emergency Equipment
ASSE 1072	Barrier Type Floor Drain Trap Seal Protection Devices
ASSE 1079	Dielectric Pipe Unions
ASSE 1081	Backflow preventers with Integral Pressure Reducing Boiler Feed Valve and Intermediate Atmospheric Vent Style for Domestic and Light Commercial Water Distribution Systems
ASSE 1082	Water Heaters with Integral Temperature Control Devices for Hot Water Distribution Systems
ASSE 1084	Water Heaters with Temperature Limiting Capacity
ASSE 1085	Water Heaters for Emergency Equipment
ASSE 1086	Reverse Osmosis (RO) Water Efficiency – Drinking Water
ASSE 1087	Commercial and Food Service Water Treatment Equipment Utilizing Drinking Water
ASSE 1090	Drinking Water Atmospheric Water Generators (AWG)
ASSE 1093	Pitless Adapters, Pitless Units, and Well Caps
ASSE 1098	Vacuum Toilet Assemblies and Galley Waste Disposal Units on Passenger Aircrafts
ASSE 1099	Pressurized water tanks
ASSE 1002/ASME A112.1002/CSA B125.12	Anti-siphon Fill Valves
ASSE 1016/ASME A112.1016/CSA B125.16	Automatic Compensating Valves for Individual Showers and Tub/Shower Combinations
ASSE 1037/ASME A112.1037/CSA B125.37	Pressurized Flushing Devices for Plumbing Fixtures
ASSE 1070/ASME A112.1070/CSA B125.70	Water Temperature Limiting Devices

## APPENDIX D – ADDITIONAL INDUSTRY STANDARDS ADOPTED

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[Approved: 8OCT21]

The following is a list of industry standards to which a manufacturer may obtain ASSE certification. The list applies to the current edition of the referenced standards, unless otherwise noted:

### ASME STANDARDS

- A112.1.2 Air Gaps in Plumbing Systems (For Plumbing Fixtures and Water-Connected Receptors)
- A112.1.3 Air Gap Fittings for use with Plumbing Fixtures, Appliances and Appurtenances
- A112.14.1 Backwater Valves
- A112.18.3 Backflow Protection Devices and Systems in Plumbing Fixture Fittings
- A112.18.7 Deck Mounted Bath/Shower Transfer Valves with Integral Backflow Protection
- A112.19.5 Trim for Water-Closet Bowls, Tanks and Urinals
- A112.19.10 Dual Flush Devices for Water Closets
- A112.21.3M Hydrants for Utility and Maintenance Use
- A112.3.1 Stainless Steel Drainage Systems for Sanitary DWV, Storm, and Vacuum Applications, Above and Below Ground
- A112.36.2M Cleanouts
- A112.4.1 Water Heater Relief Valve Drain Tubes
- A112.6.1M Floor Affixed Supports for Off-the-Floor Plumbing Fixtures for Public Use

### ASME & CSA Standards

- A112.18.1/CSA B125.1 Plumbing Supply Fittings
- A112.18.2/CSA B125.2 Plumbing Waste Fittings
- A112.19.1/CSA B45.2 Enameled Cast Iron and Enameled Steel Plumbing Fixtures
- A112.19.2/CSA B45.1 Ceramic Plumbing Fixtures
- A112.19.3/CSA B45.4 Stainless Steel Plumbing Fixtures

### CSA Standards

- CSA B64 Series Backflow Preventers and Vacuum Breakers  
(Consists of B64.0, B64.1.1, B64.1.2, B64.1.3, B64.1.4, B64.2, B64.2.1, B64.2.1.1, B64.2.2, B64.3, B64.3.1, B64.4, B64.4.1, B64.5, B64.5.1, B64.6, B64.6.1, B64.7, B64.8 and B64.9)
- CSA B356 Water Pressure Reducing Valves for Domestic Water Supply Systems

Approved: \_\_\_\_\_

APPENDIX D – ADDITIONAL INDUSTRY STANDARDS ADOPTED

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[Approved: 8OCT21]

**AWWA Standards**

- AWWA C508 Swing-Check Valves for Waterworks Service 2 inch through 24-inch NPS
- AWWA C510 Double Check Valve Backflow Prevention Assembly
- AWWA C511 Reduced Pressure Principle Backflow Prevention Assembly
- AWWA C512 Air-Release, Air/Vacuum, and Combination Air Valves for Water and Wastewater Service
- AWWA C517 Resilient-Seated Cast-Iron Eccentric Plug Valves

**IAPMO STANDARDS**

- PS 050 Flush Valve with Dual Flush Device for Water Closet or Water Closet Tank with Integral Flush Valve with Dual Flush Device
- PS 072 Valves with Atmospheric Vacuum Breaker
- PS 076 Ballcock or Flushometer Valve Tailpiece Trap Primers and Trap Primer Receptors/Adapters
- PS 079 Multiport Electronic Trap Primer
- PS 101 Suction Relief Valves
- PS 113 Hydraulically Powered Household Food Waste Disposers

**NSF STANDARDS**

- NSF/ANSI/CAN 61 Drinking Water System Components – Health Effects
- NSF/ANSI 372 Lead Free Plumbing Products (Water Filtration)

## APPENDIX E – OTHER INDUSTRY STANDARDS & RECOGNIZED DOCUMENTS

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[Approved: 8OCT21]

- A. Should an applicant desire ASSE certification to a Standard not listed in Appendices C & D, a written request to add the standard to ASSE's scope shall be submitted to ASSE.
- B. The Product Listing Team will review the standard to determine if it meets ASSE's certification scope and will determine if it can be added to either Appendices C or D.
- C. An ASSE/IAPMO IGC may be developed using IAPMO procedure for the development of IGCs
- D. A Listing Evaluation Criteria (LEC) may be developed to provide certification services within ASSE's certification scope in areas where recognized standards do not exist or are not applicable.
- E. The Product Listing Team will review the request to develop an LEC in order to:
  - 1. determine if the LEC would be applicable to ASSE's scope of accreditation;
  - 2. determine if ASSE has the internal competence for the scope of the proposed LEC;
  - 3. ensure an applicable standard or LEC does not already exist for the type of product in question;
  - 4. verify if products are currently being approved through the interpretation of an existing standard by other product certification bodies.
- F. If the Product Listing Team determines that the scope of the LEC does not meet the ASSE scope of certification, the party issuing the request shall be notified that the standard was not accepted or that ASSE will not be moving forward to develop an LEC.
- G. Should the Product Listing Team determine the need for the LEC, they should notify the Product Standards Committee that a LEC is being developed.
- H. For development of a LEC, a member of ASSE staff and one subject-matter expert are required for the development of the LEC. It is encouraged to have laboratory representations as part of the working group developing the LEC. The product Standards committees shall review and provide advice on the final draft prior to Board of Directors approval.
- I. LEC's will be reviewed on an annual basis by the Product Standards Committee for acceptance into the marketplace. By the fifth (5<sup>th</sup>) anniversary of the LEC's adoption, a two-thirds (2/3) majority decision must be made by the Product Standards Committee to either withdraw the LEC or start the product standard development process per the Product Standard Development Procedures. If a new standard is developed, the LEC shall remain active until the new standard becomes active, at which point the LEC shall be withdrawn.

Approved: \_\_\_\_\_



**For LEC's and Product Certifications for the Canadian Market**

- J. If an LEC is developed and the applicable products will be sold in Canada, the LEC should be based on Canadian Recognized Standards, should they exist.
- K. Before any product is certified to the LEC, the LEC must first be submitted to the appropriate Regulatory Authority Advisory Body(ies) (RAAB) for acknowledgement of the need for the LEC and acknowledged by the appropriate regulatory authority within the jurisdiction where the product will be marketed and installed and where a recognized standard addressing the scope of the product is not available. The submission to the RAAB shall include:
1. A summary of the research conducted to establish the need for the LEC including:
    - a. List of standards or ORD's considered;
    - b. Explanation of why they are inadequate for the purpose of certification;
    - c. Review of current ANS or CNS products underway that may fit the scope and their projected publication date.
  2. Contact information for ASSE standards and LEC development.
  3. Any partnerships with other certification bodies identified for the LEC development;
  4. The review of any patent or licensing information and follow the patent policy in the ASSE Procedures for Standards Development;
  5. A summary on how LEC's transition given their acceptance into the marketplace;
  6. A summary of the details on the new product and why an LEC needed to be developed;
  7. References made to Canadian national standards and/or valid Canadian ORD's for the LEC's for the Canadian market.
- L. Within 30 days of receipt of acknowledgement of the LEC by the RAAB, ASSE shall provide to SCC:
1. Evidence of the RAAB's decision and decision date.
  2. If validated:
    - a. A copy of the LEC;
    - b. Contact information for ASSE standards development;
    - c. LEC number, title, date of request, date of validation, and date of expiration;
    - d. LEC status (requested, acknowledged, valid, superseded, withdrawn, expired, rescinded;)
    - e. Acknowledging Body(ies) involved.
- M. When an LEC is withdrawn or superseded, SCC shall be informed of the rationale.

## APPENDIX F – CONTRACTED AGENCIES

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[Approved: 8OCT21]

ASSE may use an outsourced agency under contract to perform work on behalf of ASSE. Agency contact information and listed testing abilities are located within the ASSE database or the ASSE website.

ASSE's current list of contracted agencies includes:

As an inspection body performing annual inspections in accordance with 14 of these procedures:

- IAPMO R&T

As a listed laboratory testing product for evaluation in accordance with 15 of these procedures:

- Apollo/Conbraco
- CSA Group Laboratory
- IAPMO R&T Laboratory
- In-Sink-Erator
- Kiwa Nederland B.V.
- Kohler Lab
- NSF International
- QAI Laboratories
- Sloan Flushmate
- Steven Institute of Technology
- University of Southern California School of Engineering FCCCHR
- Zurn/Wilkins

As a translator and interpreter:

- Multilingual Connections

As a toxicological evaluator:

- Tox Services
- IAPMO R&T
  - IAPMO R&T Tox Services are part of the ASSE Product Listing Team.

Approved: \_\_\_\_\_

## APPENDIX G – SERVICES WHERE PRIMARY LANGUAGE IS FRENCH

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[Approved: 8OCT21]

### Conducting Factory Audits

ASSE will provide a subcontracted translator for the inspector while performing the inspection where a manufacturing facility representative's primary language is French.

### Addressing Oral and Written Requests

ASSE will use the services of a subcontracted translator to address responses for those whose primary language is French.

### Politique d'inspection pour compagnie francophone

ASSE fournira un traducteur en sous traitance pour l'inspecteur dans l'exercice de l'inspection d'une usine ou la langue première est le Français.

Description détaillant la manière dont les réponses seront traitées par voie orale et écrites en Français et en anglais.

ASSE aura recours aux services d'un traducteur sous traite à l'adresse des réponses pour ceux dont la seule langue est le Français et qui sont incapable de s'exprimer en Anglais. Le membre du personnel ASSE répondra aux demandes de vive voix et par écrit pour ceux présentés en anglais.

Approved: \_\_\_\_\_