Gulf Coast Testing, LLC

Certification Program Quality Procedures

ANAB
ANSI National Accreditation Board
ACCREDITED
ISO/IEC 17065
PRODUCT CERTIFICATION BODY
Accreditation ID 203

Office & Test Site
14378 Park Avenue
Prairieville, LA 70769
225-892-1132

Mailing Address
5261 Highland Road #347
Baton Rouge, LA 70808
225-281-3792

Written per
ISO/IEC 17065:2012 (E)
ISO/IEC 17025:2017
ISO/IEC 17020:2012

October 1, 2023

Introduction

This Quality Procedures Manual is a compilation of the essential policies and procedures of Gulf Coast Testing, LLC for our product certification process, outlining routine procedures necessary to fulfill the requirements of ISO/IEC 17065 (2012), ISO/IEC 17025 (2017), and the Standards and promote effective, efficient, and impartial operations at all levels. The forms used in the policies can be found immediately after each Quality Procedure. Policies, procedures, and other information stated therein are derived from policies approved by ISO (the International Organization for Standardization) and IEC (the International Electrotechnical Commission) which form the specialized system for worldwide standardization. Gulf Coast Testing LLC's Certification Policies for Wastewater Treatment Devices are also included. The purpose of this Quality Procedures Manual is twofold: first, to provide statements of policies and procedures for general guidance in conducting operations; and second, to provide specific instructions and guidelines for those personnel who are responsible for the preparation of necessary documents, forms, and other materials involved in the provision of quality services to our clients. The Program Manager and Quality Assurance Manager are responsible for coordinating the development of policy guidelines to ensure consistent formatting, coordination of revisions/additions to Gulf Coast Testing, LLC's policies and procedures, and the distribution of this information. It is the responsibility of the Program Manager to disseminate information pertinent to certification to Gulf Coast Testing, LLC's clients and to ensure that employees are aware of, understand, and comply with all issued policies and procedures in this manual. The Quality Procedures Manual is located on Gulf Coast Testing, LLC's website in the Quality Control section of the website. The previous policy and procedures are kept for historical and reference purposes on GCT's cloud server pursuant to Gulf Coast Testing, LLC's Document Control and Retention policy. Inquiries regarding this Quality Procedures Manual can be directed to the Program Manager, William B. Daniel IV, P.E, at william.daniel@gctla.com.

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1.0 MANAGEMENT REVIEWS

1.1.0 PURPOSE

This section describes the process for conducting management reviews of Gulf Coast Testing's Quality System. The aim of management reviews within GCT is to determine the level of implementation and effectiveness of the GCT management system and whether the system allows for improvement. Management reviews will incorporate all aspects of GCT's quality system including documentation, records, personnel, equipment, and environment.

1.2.0 POLICY

All Quality Procedures are written to comply with Gulf Coast Testing policy established in the Quality Manual and conformity to ISO/IEC 17065.

1.3.0 APPLICATION

The Quality Assurance Officer will present sufficient information to the Program Manager to allow a detailed review of the suitability and effectiveness of the GCT quality system. The Quality Assurance Officer is responsible for maintaining records of all management reviews, including details of discussions taken, and for monitoring completion of actions originating in the management reviews.

1.4.0 DEFINITIONS

N/A

1.5.0 REFERENCES

QF008 Management Review Form

1.6.0 PROCEDURES

1.6.1 Management Audit Inputs

The Program Manager shall conduct a review of GCT's quality system during the fourth quarter of each year or at a time determined by the program manager. The cyclical nature of this process allows each GCT review to implement changes based on past performances. The review shall be conducted using the Management Review Form. The review shall include but not be limited to the following:

1. Results of Internal and External Audits - Open Non conformances
2. Document Review

    a. Standards
    b. Certification Policies
    c. Quality Manual
    d. Website Documents
    e. ISO/IEC Documents.

f. GCT Quality Procedures (rotate documents or as necessary)

3. Quality System Fulfilment and the Suitability of Policies and Procedures
4. Client Feedback and Complaints
5. Feedback from the Impartiality Report
6. Status of Preventative and Corrective Procedures
7. Appeals and Complaints
8. Changes that could affect the Management System
9. Changes in the Volume and type of Work
10. Action items and results from previous management reviews

1.6.2 Management Audit Documentation

The results of the management review, including progress toward achievement of the objectives of the quality management system, shall be made available to the GCT staff. The outputs of the management system shall include decisions and actions related to the following:

1. Improvement of the effectiveness of GCT's management system
2. Improvement of GCT related to the fulfilment of ISO/IEC 17065 and ISO/IEC 17025
3. Resource needs

The Quality Assurance Officer shall record the information on the Management Review Form. The Quality Assurance Officer shall maintain the records of each management review per the Record and Document Control Procedure.

1.7.0 TECHNICAL AIDS

Quality Form QF008.2023.05.01.Management Review

1.8.0 EXPLANATORY NOTE

Management review meetings may be held more frequently to address time critical, ad hoc, quality issues as required, or if requested by the Program Manager.

GULF COAST TESTING, LLC

MANAGEMENT REVIEW

Date:

Results of Internal and External Audits

Open Corrective Action Items as of Last Management Audit[1]

Number	Source	Identified By	Date	Description	Status

[1]See Narrative Section for Discussion of Corrective Actions

MANAGEMENT REVIEW

DOCUMENT REVIEW

Document	Applicable Issues	Corrective Action
Standards		
Certification Policies		
Quality Manual		
Website Documents		
ISO/IEC Documents		

MANAGEMENT REVIEW

QUALITY SYSTEM FULFILMENT & SUITABILITY OF POLICIES AND PROCEDURES

POLICY GOAL	METRICS	RESPONSE

CLIENT FEEDBACK AND COMPLAINTS

Client	Complaint/Feedback	Response

MANAGEMENT REVIEW

FEEDBACK FROM IMPARTIALITY REPORT

STATUS OF PREVENTATIVE AND CORRECTIVE PROCEDURES

Procedure	Status	Action Required

APPEALS AND COMPLAINTS

Complainant	Complaint	Resolution

MANAGEMENT REVIEW

CHANGES THAT COULD AFFECT MANAGEMENT SYSTEM

Factor	Current Status	Impact
Regulatory Factors	These include the regulatory actions that can influence the states certification process, changes in Standards from NSF Committees, or changes in accreditation from ANSI.	
Economic Factors	The economic conditions that affect the testing industry. Housing starts, inflation, economic growth/decline, and changes in interest rates.	
Market Factors	The market environment that reflects customer preferences and competition in the testing industry.	
Technological Factors	It includes the impact of technological advancements and innovations evolving in the wastewater industry.	

CHANGES IN VOLUME AND TYPE OF WORK

Change	Effect on Equipment	Effect on Personnel

MANAGEMENT REVIEW

ACTION ITEMS AND RESULTS FROM PREVIOUS MANAGEMENT REVIEW

Item	Resolution

NARRATIVE

GULF COAST TESTING, LLC

MANAGEMENT REVIEW

In accordance with the Gulf Coast Testing, LLC Quality Manual, the following members of the Management Team have reviewed the current status of quality procedures, company resource allocation, and effectiveness of the quality management system as presented by the Quality Manager.

Present	Not Present	Name	[2]Signatures	Date
☐	☐			
☐	☐			
☐	☐			
☐	☐			
☐	☐			

[2]The signatures above indicate that the above were present and/or they have read these minutes and agree to any actions for which they are responsible.

2.0 QUALITY PLANNING

2.1.0 PURPOSE

This section describes the activities for quality planning.

2.2.0 POLICY

All Quality Procedures are written to comply with Gulf Coast Testing policy established in the Quality Manual section and conformity to ISO/IEC 17065.

2.3.0 APPLICATION

This section is performed by the Program Manager.

2.4.0 DEFINITIONS

N/A

2.5.0 REFERENCES

ISO/IEC 17065:2012(E) Section 7.4 Evaluation

2.6.0 PROCEDURES

The overall GCT quality plan is to develop a plan for each project in compliance with the contract, client and GCT policies and procedures as follows:

1. The Program Manager ensures that planning and scheduling is coordinated and that schedules are developed for all evaluations and procedures of GCT, including the Management Review Procedure and Internal Quality Assurance Audits Procedure.
2. The Program Manager shall assign to each task identified in the procedures to an employee qualified to carry out the execution of the task.
3. If there are any additional external or internal documents mandatory for the project, the Program Manager ensures that the documents are specified in the plan.
4. The Program Manager, as part of the management review and pursuant to the Management Review Procedure will ensure that quality planning is reviewed. The review will include but is not limited to:

    a. Performance associated with contract compliance.
    b. Completion of tasks on or before the scheduled due date
    c. Resolution of any nonconformance associated with the project
    d. Inclusion of any contract amendments that might affect the quality plan

5. When changes to the planning process are indicated, the Program Manager ensures that the proper changes are made and that the changes or disseminated to the employees.
6. The Quality Assurance Officer shall ensure that records and changes made are maintained pursuant to the Record and Document Control Procedure.

2.7.0 TECHNICAL AIDS

ISO/IEC 17065 - Section 7.4 Evaluation
QF033.Evaluation Plan and Document Checklist

2.8.0 EXPLANATORY NOTE

N/A

GCT GULF COAST TESTING, LLC

Evaluation Plan and Document Checklist

Manufacturer				SPE Number	
Model Name		Model Type		Test Site	☐ NA
Scope of Certification	NSF/ANSI Standard 40 ☐	NSF/ANSI Standard 245 ☐	NSF/ANSI Standard 350 ☐	Other ☐	

Item	Responsible GCT Employee	Date	Document Available
Contract Quality Form QF031			☐ Yes ☐ No ☐ NA
Infiltration/Exfiltration Quality Form QF034			☐ Yes ☐ No ☐ NA
Unit Installation Quality Form QF035			☐ Yes ☐ No ☐ NA
In-Plant Audit Quality Form QF036			☐ Yes ☐ No ☐ NA
Equipment Evalution Quality Form QF037			☐ Yes ☐ No ☐ NA
Aerator Testing Quality Form QF040			☐ Yes ☐ No ☐ NA
Drawing/Schematic			☐ Yes ☐ No ☐ NA
Aerator Specs/Curves			☐ Yes ☐ No ☐ NA
Diffuser			☐ Yes ☐ No ☐ NA
Alarm			☐ Yes ☐ No ☐ NA
Data Review			☐ Yes ☐ No ☐ NA
SPE Report Quality Form 051			☐ Written
Criteria Evaluation Quality Form 039			☐ Received
Approval/Denial of Certification			☐ Approved ☐ Denied
Reports Sent to Client			
SPE Report Quality Form 051			☐ Yes ☐ No
Certification Certificate Quality Form 053			☐ Yes ☐ No
Authority To Use Mark Quality Form 043			☐ Yes ☐ No
Official Listing Form Quality Form 052			☐ Yes ☐ No

Deputy Program Manager _____ Date _____

QA/QC Manager _____ Date _____

3.0 NEW APPLICATIONS FOR CERTIFICATION

3.1.0 PURPOSE

This section describes the activities for new applications for certification.

3.2.0 POLICY

The scope of GCT's services, with respect to wastewater treatment unit certification, includes testing new units and certifying alternate units based on existing certifications. GCT only performs certification of residential wastewater treatment units in accordance with the Standards and ISO/IEC 17065 and 17025.

3.3.0 APPLICATION

This section is performed by the Program Manager.

3.4.0 DEFINITIONS

Application for Certification – all the necessary information to complete the certification process for a new certification in accordance with the relevant Standard. An application for certification is a formal document to gather information as a part of the certification process. Reference ISO/IEC 17065 Section 7.2.

Contract for Certification – the contract for certification is a legally enforceable agreement for the provision of certification activities between GCT and its clients. Certification agreements shall take into account the responsibilities of the certification body and its clients. Reference ISO/IEC 17065 Section 4.1.2.

Application Review - a review of the information obtained from the Client to ensure that the information about the client and the product is sufficient for the conduct of the certification process. Reference ISO/IEC 17065 Section 7.3.

3.5.0 REFERENCES

1. ISO/IEC 17065
2. Standards
3. GCT Quality Form QF030 - Application for Certification
4. GCT Quality Form QF031 - Contract for Certification
5. GCT Quality Form QF032 - Application Review

3.6.0 PROCEDURES

3.6.1 SUBMISSION OF APPLICATIONS

The Client shall submit an Application for Certification on Quality Form QF032 requesting GCT to evaluate Client's model for certification. The Application for Certification can be found on GCT's website, http://gctla.com/certification-application, where it can be completed online or downloaded for manual completion. The application can also be obtained by request by contacting GCT at info@gctla.com.

3.6.2 CLIENT REQUIRED DOCUMENTATION

The Client will supply detailed product information for the products for which certification is requested. This information shall include but not be limited to:

1. Company Name
2. Contact Information
3. Legal Status of Company
4. Function and relationship in larger corporation, if applicable
5. Number of Employees
6. Outsourced Processes, if applicable
7. Facility Information
8. Model Name, Material, and Capacity
9. Scope of Certification Requested

3.6.3 APPLICATION REVIEW

GCT shall conduct a review using Quality Form QF032 from the information obtained in 3.6.2 to ensure that:

1. The information about the client is sufficient to conduct the certification process;
2. Information about the model is documented including previous models certified for client, the model name, and model type;
3. The scope of certification as it pertains to the Standard(s) is defined;
4. The Project Description is defined;
5. The certification means is determined:
   i. Testing is required, or
   ii. An engineering evaluation pursuant to Section 1.3 or 1.4 of Standard is required.
6. GCT has the competence and capability to perform the certification activity.
   i. The Program Manager reviews the certification request and evaluates the request based on previous certification experience, technical competence of GCT personnel, and GCT's resources.
   ii. If the Program Manager concludes GCT has the competence and capability to fulfill the certification request by the client, GCT will accept the certification activity.
   iii. Should the Program Manager conclude GCT lacks the competency or resources, GCT shall decline the certification request.
7. The date GCT agrees to proceed to evaluation is recorded.
8. Any known difference in understanding between GCT and the client is resolved, including agreement regarding standards or certification documents and the date of agreement is recorded;
9. GCT shall assign an SPE number to the project; and
10. GCT shall send the client a contract to the client using GCT Quality Form QF031 and record the date the contract was sent to the client.

3.7.0 TECHNICAL AIDS

GCT has the application and application review information process online. GCT employees shall follow the online process to ensure all the elements of the application and review are fulfilled.

3.8.0 EXPLANATORY NOTE

N/A

Application for Certification

COMPANY INFORMATON

Company Name: _____

Contact Name: _____

Company Address: _____

_____

_____

City State Zip

Mailing Address: _____
(if different)

_____

_____

City State Zip

Legal Status of Company: _____

Other Legal Entities of Company: _____

Phone: _____ Fax: _____

Email: _____ Website: _____

Certification Requested

_____ NSF/ANSI Standard 40 _____ NSF/ANSI Standard 46

_____NSF/ANSI Standard 245 _____ NSF/ANSI Standard 350

_____NSF/ANSI Standard 385 _____ Other _____

PRODUCT INFORMATION

Product Name and Model Number: _____

Brief Description of Product: _____

_____

Application for Certification

FACILITY INFORMATION

Facility Address: _____

_____

_____

City State Zip

Phone: _____ Fax: _____

Production Facility Contact _____

Hours of Operation: _____

Total Employees: Salaried_____ Hourly_____

Affidavit: I certify that I agree to comply with the applicable Gulf Coast Testing policies and NSF/ANSI Standards related to the use of the GCT mark. I am authorized by the company to agree that the company will pay for any charges billed for services rendered at the request of the company in the initial evaluation and/or testing of products for Certification.

A check in the amount of $500 is enclosed for the certification application deposit. I understand that upon acceptance by Gulf Coast Testing, LLC, the deposit is non-refundable and charges for all other services will be invoiced as rendered.

_____ _____

Signature **Date**

_____

Printed Name

_____

Title

PLEASE RETURN THIS APPLICATION AND CHECK TO:

GULF COAST TESTING, LLC
5261 Highland Rd #347
Baton Rouge, LA 70808

MAKE CHECK PAYABLE TO GULF COAST TESTING, LLC.

4.0 MAINTAINING CERTIFICATION OF EXISTING SYSTEMS

4.1.0 PURPOSE

This section describes the activities for maintaining certification of existing certified systems.

4.2.0 POLICY

All Quality Procedures are written to comply with GCT policy established in the Quality Manual. GCT establishes the requirements for the continued certification of products based on the requirements of the Standards and ISO/IEC 17065.

4.3.0 APPLICATION

This section is performed by the Program Manager.

4.4.0 DEFINITIONS

N/A

4.5.0 REFERENCES

Standards

4.6.0 PROCEDURES

4.6.1 SCHEDULING OF CONTINUING COMPLIANCE AUDITS

Pursuant to the New and Continuing Compliance Reports Procedure, a date for a continuing compliance audit will be set to insure that the product continues to meet all the requirements of the Standards.

4.6.2 CLIENT REQUIREMENTS FOR CONTINUING CERTIFICATION

The Program Manager, through the Continuing Compliance Procedure outlined in the New and Continuing Compliance Reports Procedure, shall insure that the Client:

1. Pays all applicable certification fees
2. Continues to meet the requirements of the Standards
3. Complies with all program policies and contract provisions
4. Designates each certified system with a model designation that bears the GCT Mark.
5. Identifies components that are intended to be used with other components to form a complete functional system with the GCT Mark to indicate that particular device is a component.
6. Provides annually, by January 1, a listing of all certified systems and components for publication on GCT's website. Assures the Official Listing includes, at a minimum, the following information:

a. Company name and address
b. Production location, city and state, province/country, or other plant identification acceptable to GCT
c. Product Description
d. Trademark/Model Designation
e. Class Rating
f. Rated Capacity
g. Listing of each state, province/country the Certified Client has an authorized representative

7. Provides all the information requested by GCT to conduct the annual audit
8. Follows the requirements of Evaluation Process Procedure for testing and evaluation in accordance with the Standards
9. Follows the requirements of Changes in Program Requirements Procedure for changes in requirements
10. Institutes corrective action for all items of non-compliance found during audits and inspections
11. Uses the GCT Mark in a proper manner on sales literature, technical publications, promotional materials, packaging, catalogs, and advertising

4.7.0 TECHNICAL AIDS

QF036 In-Plant Audit Form
QF045 Manufacturer's Audit Checklist Form
QF037 Equipment Evaluation Form
QF046 Audit Narrative Page
QF047 Authorized Representative Inspection Report
QF048 Site Visit Inspection Report
QF050 Corrective Action Form

4.8.0 EXPLANATORY NOTE

N/A

Gulf Coast Testing, LLC
5261 Highland Road #347
Baton Rouge, Louisiana 70808
(225) 281-3792 ● william.daniel@gctla.com

Manufacturer's Audit Checklist Form

Company Name_____ Date_____

Model (s) Certified:

_____

Type: ☐ Initial Audit ☐ Annual Compliance Audit ☐ Follow Up Audit ☐ Regulatory Audit

Audit Number: _____ (Year-Audit Number)

Audit Materials and Equipment: Drawings, Installation and Service Manuals, SPE Report

Auditee Identification: _____

Appropriate Personnel: ☐ Yes ☐ No

Management Changes Since Last Audit: ☐ Yes ☐ No
If Yes, Assess Changes on Narrative Sheet

Audit Criteria: NSF/ANSI Standard _____, GCT Quality Manual, GCT Quality Procedures

Auditee Has Copies Available on Site ☐ Yes ☐ No

Previous (Open) Non-Conformance(s): ☐ Yes ☐ No

If Yes – Review Corrective Action Form for previous Non-Compliance(s)

Review GCT Quality Manual

☐ Section 4.0 ☐ Section 5.0 ☐ Section 6.0 ☐ Section 7.0 ☐ Section 8.0

Review GCT Quality Procedures

☐ QP03 ☐ QP04 ☐ QP05 ☐ QP06 ☐ QP07 ☐ QP08 ☐ QP10 ☐ QP11

☐ QP12 ☐ QP15 ☐ QP17 ☐ QP19 ☐ QP38 ☐ QP39

NSF/ANSI Standard _____ Reviewed: ☐ Yes ☐ No

Initial Version of Accreditation _____ Current Version _____

Complaint Log Reviewed Complaint Log: ☐ Yes ☐ No

Gulf Coast Testing, LLC
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Equipment Evaluation Form: Reviewed and Attached **(**Discuss with Manufacturer relevant sections of Approved Standard)	☐ Yes ☐ No
Significant Changes in Construction of System Since Previous Audit If Yes, Attach Narrative Page	☐ Yes ☐ No
Additional Models Authorized If Yes, Attach Narrative Page	☐ Yes ☐ No
Mark Properly Affixed	
Manufacturers Name and Address	☐ Yes ☐ No
Model Number	☐ Yes ☐ No
Serial Number	☐ Yes ☐ No
Rated Daily Hydraulic Capacity	☐ Yes ☐ No
System Classification	☐ Yes ☐ No
Advertising Literature	☐ Yes ☐ No
Owner's Manual	
System's Model Designation	☐ Yes ☐ No
System Classification	☐ Yes ☐ No
Functional Description of the System Operation	☐ Yes ☐ No
Diagram Included Showing System Design and Flow Path	☐ Yes ☐ No
Types of Waste Treated	☐ Yes ☐ No
Household Substances Warning	☐ Yes ☐ No
Comprehensive Operating Instructions and Maintenance Responsibilities	☐ Yes ☐ No
Service-Related Obligations of Manufacturer	☐ Yes ☐ No
Requirements for Periodic Removal	☐ Yes ☐ No
Actions for Intermittent or Extended Periods of Non-Use	☐ Yes ☐ No
Detailed Instructions for Identifying System Malfunction	☐ Yes ☐ No
Use of the Data Plate by the Owner for Reference	☐ Yes ☐ No
Name and Telephone Number of Appropriate Service Representative	☐ Yes ☐ No
Description of Initial and Extended Service Policies	☐ Yes ☐ No
	☐ Yes ☐ No
Installation Manual	
Numbered List of System Components	☐ Yes ☐ No
Design, Construction, and Material Specifications	☐ Yes ☐ No
Wiring Schematic for Electrical System	☐ Yes ☐ No
Off-Loading and Un-Packing Instructions	☐ Yes ☐ No
Process Overview of the Function of Each Component	☐ Yes ☐ No
Expected Function of Entire System	☐ Yes ☐ No
Clear Definition of System Installation Requirements	☐ Yes ☐ No
Sequential Installation Procedure Form	☐ Yes ☐ No
Repair or Replacement Instructions	☐ Yes ☐ No
List of Sources for Replacement Components	☐ Yes ☐ No
Detailed Start Up Procedure	☐ Yes ☐ No
	☐ Yes ☐ No
Training Manual Reviewed and Appropriate	☐ Yes ☐ No
Training Certifications Reviewed and Appropriate	☐ Yes ☐ No
Manufacturer's Audits of Authorized Representatives Reviewed	☐ Yes ☐ No

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Official Listing Correct	☐ Yes ☐ No
Warranty Provided Initial Warranty (Attach Copy) Extended Warranty (Attach Copy)	 ☐ Yes ☐ No ☐ Yes ☐ No

Close Meeting

Audit Results Reviewed ☐ Yes ☐ No
Nonconformance Complete and Attached ☐ Yes ☐ No
Manufacturer Sent all Documents ☐ Yes ☐ No

Inspector's Name _____ Inspector's Signature _____

Manufacturer's Name _____ Manufacturer's Signature _____

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Equipment Evaluation Form

SPE_____ (If Applicable)

Company Name: _____ Date: _____

Model Evaluated: _____ ☐ Listed ☐ New

Model Description: _____ NSF/ANSI Standard _____

Other Models in Series: _____

INSTRUCTIONS: Evaluate for each of the following requirements. (A=acceptable; X=not acceptable (see narrative); N=not applicable) Key: Standards (40, 245, 350); PM = GCT's Policy Manual; QP = GCT's Quality Procedures;

		GENERAL (GULF COAST TESTING POLICIES)
___	1	Model (QP03, QP04, QP06, QP07)
___	2	GCT® Mark (QP15, PM 4.4, 4.7, 4.9, 9.1, 9.2)
___	3	Literature (PM20)
___	4	Records on File (QP11, PM7, PM21)
___	5	Reevaluation/Periodic Monitoring (QP11, PM5, PM17)
___	6	General Format of Official Listing (PM16)
___	7	Verified Corrective Action (QP10, PM11)
___	8	Authorized Representatives (PM17, PM22)
___	9	Additional Models (QP05)
___	10	Distribution of Test Data (QP41)
		MATERIALS
___	11	Interior Surfaces (Standards 4.1)
___	12	Exterior Surfaces (Standards 4.2)
___	13	Welding (Standards 4.3)
___	14	Dissimilar Metals (Standards 4.4)
		DESIGN AND CONSTRUCTION
___	15	Exposed Surfaces (Standards 5.1)
___	16	Structural Integrity (Standards 5.2)
___	17	Water Tightness (Standards 5.3)
___	18	Noise (Standards 5.4)
___	19	Mechanical Components (NSF 5.5)
___	20	Electrical Components (NSF 5.6)
___	21	Access Ports (NSF 5.7)
___	22	Failure Sensing and Signaling Equip (Standards 5.8)
___	23	Flow Design (NSF 5.9)
___	24	Data Plate & Service Label (Standards 5.10)
___	25	Alternate Air Delivery Components (Standards 5.11)

		MANUALS
___	26	Owner's Manual (Standards 6.1)
___	27	Instruction Manual (Standards 6.2.1)
___	28	Operation and Maintenance Manual (Standards 6.2.2)
___	29	Troubleshooting and Repair Manual (Standards 6.2.3)
___	30	Other Documentation (Standards 7.0)
		SCALING AND ALTERNATE SYSTEMS
___	31	Design Review (Standard 40, Annex 1)
___	32	Tanks (Standard 40, Annex 1)
___	33	Structural Integrity (Standard 40, Annex 1)
___	34	Air Delivery (Standard 40, Annex 1)
___	35	Media (Standard 40, Annex 1)
___	36	Other (Standard 40, Annex 1)
		OPERATION AND MAINTENANCE
___	37	Limited Warranty (NSF Annex A.1)
___	38	Initial Service Policy (NSF Annex A.2.1)
___	39	Six-month service calls (NSF Annex A.2.1.1)
___	40	Notification (NSF Annex A.2.1.3)
___	41	Extended Service Policy (NSF Annex A.2.2)
___	42	Standby Parts (NSF Annex A.2.3)
___	43	Availability of Services (NSF Annex A.2.4)
		INSPECTION
___	44	Repeated items from last evaluation:

Gulf Coast Testing's contract and policy prohibit the use of the Gulf Coast Testing® mark on products not in full compliance with the applicable standard and policies. Completion of this report does not constitute acceptance for Certification/Listing.

Inspector: _____ Signature: _____

Manufacturer: _____ Signature: _____

Gulf Coast Testing, LLC
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In-Plant Audit Form

SPE_____ (If Applicable)

Company Name:_____ ☐ Listed Company ☐ New Company

Manufacturer Name:_____

Facility Address:_____

Facility City, State/Country:_____

Plant Manager (name/title):_____

Person Contacted (name/title):_____

Visit Type: ☐ Initial Audit ☐ Annual Compliance Audit ☐ Follow Up Audit ☐ Agency Audit

PRODUCT TYPE	STD	MODEL NUMBER	LISTED/ NEW	SERIES NAME

Training and Certification Acceptable ☐ Yes ☐ No ☐ NA
Procurement Procedures Acceptable ☐ Yes ☐ No ☐ NA
Manufactured According to Company Quality Standards ☐ Yes ☐ No ☐ NA
Fabrication/Assembly Activities Acceptable ☐ Yes ☐ No ☐ NA
Environmental Conditions Acceptable ☐ Yes ☐ No ☐ NA
Records Up to Date ☐ Yes ☐ No ☐ NA
Documentation Manuals ☐ Yes ☐ No ☐ NA

This report confirms the evaluation/audit on _____/_____/_____ to determine compliance with NSF/ANSI Standard(s) and all related requirements. For any non-compliance, you are requested to submit on or before _____/_____/_____ a written explanation of planned and/or actual corrective action or a statement of disagreement with reasons. **Gulf Coast Testing's contract and policy prohibits the use of the Gulf Coast Testing® mark on products not in full compliance with the applicable standard and policies.** Completion of this report does not constitute acceptance for Certification/Listing.

_____ _____
Inspector's Name Inspector's Signature

_____ _____
Manufacturer's Name Manufacturer's Signature

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Baton Rouge, Louisiana 70808
(225) 281-3792 ● william.daniel@gctla.com

Authorized Representative Inspection Report

Certified Company Name:_____ Date:_____

Distributor Name:_____ Telephone #: _____

Distributor Address: _____

Contact Name:_____ Title:_____

Model Number(s) inspected during visit:_____ NSF/ANSI Standard: _____

	YES	NO
Knowledge of Gulf Coast Testing's Requirements:		
1. Was the authorized representative trained by the Certified Company concerning proper fabrication, installation, service, maintenance, and recordkeeping?		
2. Does authorized representative have complete set of operation, maintenance and installation instructions on file for each model?		
Conformance to Documentation of Listed Plant:		
3. Are the dimensions of the plant(s) identical to those published in the Standard Performance Evaluation?		
4. Are the plant(s) fiberglass, poly, or concrete? (Circle one)		
5. Are the components identical to those Evaluated and Listed (i.e., aerators, alarms, pumps, filters, diffusers, PVC sizes, etc.?)		
6. Has the authorized representative made any modifications to the design and/or construction of the listed plant(s)?		
7. Does the plant exhibit a smooth interior finish?		
8. Does the plant bear the Gulf Coast Testing® Mark?		
9. Data Plates		
1. Name of Listed Manufacturer	___	___
2. Model number	___	___
3. Serial number	___	___
4. Rated capacity of plant	___	___
5. Designated class rating	___	___
10. Is a complete set of instructions, initiation of service, operation, and maintenance available to be provided to the user?		
Verification of Service:		
11. Is a continuous service policy available to each owner? (Attach copy)		
12. Is the authorized representative's service label, including name, address, and phone number, attached to the control box?		
13. Are six month service calls being conducted and recorded?		
14. Are records of installations and service properly recorded?		
a. Are details of the service provided recorded?	___	___
b. Are emergency calls recorded?	___	___
15. Are component parts (i.e., aerators, filter, etc.) available should a plant's components need repair?		
Advertising:		
16. Does the authorized representative distribute any literature concerning the plant(s) other than the Listed Company's literature? (If so, attach a copy)		
17. Does the authorized representative advertise listed plants locally or in the phone book and reference Gulf Coast Testing? (If yes, attach copy of advertisement)		

This report will confirm the audit of your authorized representatives on _____/_____/_____ to determine compliance with NSF/ANSI Standard _____ and GULF COAST TESTING policies. For any non-compliance, you are requested to submit on or before _____/_____/_____ a written explanation of planned and/or actual corrective action or a statement of disagreement with reasons. **Gulf Coast Testing's contract and policy prohibit the use of the Gulf Coast Testing® mark on products not in full compliance with the applicable Standard and policies.** (Report shall be submitted to the Certified Company)

_____ _____
Inspector's Name Inspector's Signature

_____ _____
Authorized Representative's Name Authorized Representative's Signature

Gulf Coast Testing, LLC
5261 Highland Rd, #347
Baton Rouge, Louisiana 70808
(225) 281-3792 ● william.daniel@gctla.com

Site Visit Inspection Report

Certified Company's Name _____

Model Number of Plant in Service _____

Serial Number on Aerator _____

1. Name and address of owner: _____

_____

_____

Number of persons serviced by plant: _____

Installation date: _____

Name of installer if other than distributor: _____

Date and purpose of last service call: _____

_____

_____

	YES	NO
2. Is the record of installation and maintenance on this installation up to date and adequate?		
3. Service available within two working days?		
4. Are all component parts properly installed and operating?		
5. Are all data plates properly attached to: a. the control panel? b. the tank, riser, or aeration equipment?		
6. Have any modifications been made to the plant?		
7. Do components match listing documents?		
8. Are all access covers secure? By what method? _____		
9. Does the effluent appear turbid or foamy?		
10. Was user's manual available at the site? If no, why not? _____		
11. Was the local regulatory official present during this inspection? Agency _____ If yes, regulatory official's Name: _____ Address: _____ _____		
12. Comments regarding installation deficiency submitted on narrative page.		

This report will confirm the audit of your distributorship on ____/____/____ to determine compliance with NSF/ANSI Standard _____ and GCT policies. For any non-compliance, you are requested to submit on or before ____/____/____ a written explanation of planned and/or actual corrective action or a statement of disagreement with reasons. **Gulf Coast Testing's contract prohibits the use of the Gulf Coast Testing® Mark on products not in full compliance with the applicable Standard and policies.**

_____ _____

Inspector's Name Inspector's Signature

_____ _____

Manufacturer's Representative Name Manufacturer's Representative Signature

Gulf Coast Testing, LLC
5261 Highland Rd, #347
Baton Rouge, Louisiana 70808
(225) 281-3792 ● william.daniel@gctla.com

Audit Narrative Page

Audit Date: _____ **Audit Number:** _____

Model Number/Trade Designation, Standard, and applicable Standard or policy section shall be referenced along with cited deficiency.

Inspector's Name

Inspector's Signature

Manufacturer's Representative Name

Manufacturer's Representative Signature

5.0 EXTENDING OR REDUCING SCOPE

5.1.0 PURPOSE

This section describes the activities for extending or reducing scope pursuant to the Standards.

5.2.0 POLICY

All Quality Procedures are written to comply with GCT policy established in the Quality Manual and ISO/IEC 17065.

5.3.0 APPLICATION

This section is performed by the Program Manager.

5.4.0 DEFINITIONS

N/A

5.5.0 REFERENCES

Standards

5.6.0 PROCEDURES

5.6.1 EXTENDING SCOPE

5.6.1.1 CLIENT INFORMATION

If a Client requests a model to be extended in scope, the following procedure will be followed:

1. All requests shall be submitted to GCT in writing.
2. Documentation will be provided by the Client showing the proposed scope extension.
3. The Client will provide drawings showing all dimensions of the proposed system.
4. The Client will provide GCT with any documents GCT considers necessary to evaluate the scope extension.

5.6.1.2 GCT EVALUATION

Once GCT receives the proper documentation from the Client, GCT shall evaluate the request as follows:

1. Pursuant to the Evaluation Process Procedure, GCT will perform an engineering analysis to determine if the proposed system should be approved by engineering evaluation or subject to testing pursuant to the requirements of the Standard.
2. If approved by engineering evaluation, the procedure shall be followed as per the Evaluation Process Procedure.

3. If the proposed system must be tested, the procedure shall be followed as per the Evaluation Process Procedure.
4. GCT shall respond to the Client within sixty days of receiving the documentation. Should GCT require additional time for evaluation, GCT shall notify the Client the reasons for requesting the additional time and a new response date.
5. Once the evaluation is complete, GCT shall notify the Client by letter as to the results of the evaluation. The Manufacturer shall not release the extended product until a letter is received from GCT approving the change.
6. If the change is approved, GCT will issue a Certification Certificate and the Client will be listed in the Official Listing.

5.6.1.3 COMPLAINTS AND DISPUTES

If the Client does not agree with the action taken by GCT, the Client shall utilize the procedure set forth in the Complaints, Disputes, and Appeals Documentation Procedure to register his complaint or dispute.

5.6.2 REDUCING SCOPE

GCT does not suspend systems. If a Client notifies GCT in writing of their decision to de-list a certified system, the following procedure shall be followed:

1. GCT will change the listing records to remove the system from the listing.
2. GCT will notify the Client in writing with the Letter for Revocation of Use of the Certification Mark that the system has been de-listed and request the Client remove the system in their next published program listing book.
3. GCT will insure in the yearly audit that only approved systems are in a Client's published listing book and promotional material.

5.6.3 DOCUMENTATION

GCT shall document all decisions on extending or reducing scope per the documentation procedures in the Evaluation Process Procedure.

5.7.0 TECHNICAL AIDS

QF033.Evaluation Plan and Document Checklist

5.8.0 EXPLANATORY NOTE

N/A

GCT GULF COAST TESTING, LLC

Evaluation Plan and Document Checklist

Manufacturer				SPE Number	
Model Name		Model Type		Test Site	☐ NA
Scope of Certification	NSF/ANSI Standard 40 ☐	NSF/ANSI Standard 245 ☐	NSF/ANSI Standard 350 ☐	Other ☐	

Item	Responsible GCT Employee	Date	Document Available
Contract Quality Form QF031			☐ Yes ☐ No ☐ NA
Infiltration/Exfiltration Quality Form QF034			☐ Yes ☐ No ☐ NA
Unit Installation Quality Form QF035			☐ Yes ☐ No ☐ NA
In-Plant Audit Quality Form QF036			☐ Yes ☐ No ☐ NA
Equipment Evalution Quality Form QF037			☐ Yes ☐ No ☐ NA
Aerator Testing Quality Form QF040			☐ Yes ☐ No ☐ NA
Drawing/Schematic			☐ Yes ☐ No ☐ NA
Aerator Specs/Curves			☐ Yes ☐ No ☐ NA
Diffuser			☐ Yes ☐ No ☐ NA
Alarm			☐ Yes ☐ No ☐ NA
Data Review			☐ Yes ☐ No ☐ NA
SPE Report Quality Form 051			☐ Written
Criteria Evaluation Quality Form 039			☐ Received
Approval/Denial of Certification			☐ Approved ☐ Denied
Reports Sent to Client			
SPE Report Quality Form 051			☐ Yes ☐ No
Certification Certificate Quality Form 053			☐ Yes ☐ No
Authority To Use Mark Quality Form 043			☐ Yes ☐ No
Official Listing Form Quality Form 052			☐ Yes ☐ No

Deputy Program Manager _____ Date _____

QA/QC Manager _____ Date _____

6.0 CHANGES IN PROGRAM REQUIREMENTS

6.1.0 PURPOSE

This section describes the activities for when there are changes in program requirements.

6.2.0 POLICY

All Quality Procedures are written to comply with GCT policy established in the Quality Manual Section with which this section corresponds and ISO/IEC 17065.

6.3.0 APPLICATION

This section is performed by the Program Manager.

6.4.0 DEFINITIONS

N/A

6.5.0 REFERENCES

Standards
GCT Certification Policies for Wastewater Treatment Devices

6.6.0 CHANGE PROCEDURES

6.6.1 CHANGES IN PROGRAM REQUIREMENT BY GCT

6.6.1.1 CHANGES DURING TESTING

When a program requirement changes while a Client is testing for certification, the Program Manager shall:

1. Notify the Client by email or mail within thirty (30) days of adopting the changes in GCT's requirement for certification;
2. Consider the views expressed by interested parties before deciding on the precise form and effective date of the changes;
3. Institute the new requirements as he/she determines to meet the criteria of the Standards.

6.6.1.2 CHANGES TO CERTIFIED PRODUCTS

When a program requirement changes, the Program Manager shall:

1. Notify the Client within 30 days of the adopting the change in GCT's requirement for certification

2. Consider the views expressed by interested parties before deciding on the precise form and effective date of the change
3. Review the certified product(s) affected by the change and set a timetable for re-qualifying the products.
4. Re-evaluate and re-qualify the certified products as per the Evaluation Process Procedure.
5. Verify each Client meets the new requirements of the Standards by the deadline date or de-list the certified product

6.6.2 CHANGES IN STANDARDS

The Program Manager shall monitor for any changes in the requirements of the Standards.

6.6.2.1 CHANGES DURING TESTING

When changes are made to the Standards while a Client is testing for certification, the Program Manager shall:

1. Notify the Client within 48 hours of receiving the updated requirements;
2. Consider the views expressed by interested parties before deciding on the precise form and effective date of the changes;
3. Implement the changes as he/she determines to meet the criteria of the Standards and shall evaluate the residential wastewater treatment system per the Evaluation Process Procedure for the new requirements

6.6.2.2 CHANGES TO CERTIFIED PRODUCTS

When changes are made to the Standards, the Program Manager shall:

1. Notify the Client regarding changes in the requirements of the Standards:

    a. If the change requires modification to the product, GCT will notify the Client by letter within 30 days of receiving the change
    b. If the change requires no modification to the product, GCT will notify the Client at the annual audit

2. Consider the views expressed by interested parties before deciding on the effective date of the change.
3. Review the certified product(s) affected by the change and set a deadline for re-qualifying the products.
4. Re-evaluate and re-qualify the certified products as appropriate pursuant to the Evaluation Process Procedure.
5. Verify each Client makes the necessary changes by the deadline date or de-list the certified product.

6.6.3 EXPIRATION OF CERTIFICATION

When the certified residential wastewater system has been certified for six years, the Program Manager shall:

1. Re-evaluate the certified product(s) affected by expiration pursuant to the Evaluation Process Procedure.
2. Verify each Client institutes the decision of the Program Manager.

6.6.4 SUSPENSION OF CERTIFICATION

GCT makes no provision for suspension of certification. If the certified unit fails to meet the requirements of certification for any reason, the certified unit shall be decertified pursuant to the Evaluation Process Procedure in Section 7.6.4.

6.7.0 TECHNICAL AIDS

N/A

6.8.0 EXPLANATORY NOTE

N/A

7.0 EVALUATION PROCESS

7.1.0 PURPOSE

This section describes the activities for system evaluations pursuant to the appropriate standard.

7.2.0 POLICY

All Quality Procedures are written to comply with GCT policy established in the Quality Manual section with which this section corresponds and ISO/IEC 17065.

7.3.0 APPLICATION

This section is performed by the Program Manager and the GCT evaluators.

7.4.0 DEFINITIONS

SPE Report – Specific Evaluation Performance Report; a report on the evaluation of the Model with all the associated data pursuant to the Standard(s).

7.5.0 REFERENCES

Standards

7.6.0 PROCEDURES

Upon receipt of an Application for Certification, the Program Manager shall follow the Application for Certification Procedure. Upon receipt of a either a signed Contract for Specific Performance Evaluation from the Client or a request for a supplemental evaluation from an existing certified client, the Program Manager shall instruct the GCT employees to proceed with the evaluation.

7.6.1 EVALUATION FOR APPLICATIONS FOR NEW CERTIFICATION

7.6.1.1 SCHEDULING

The Program Manager shall consult with the Deputy Program Manager as to the availability of space at the test site. The Deputy Program Manager shall then inform the Client in writing the date that the Client may bring the Model to GCT's test site.

The Deputy Program Manager shall meet with and inform GCT staff a new Application for Certification has been received. GCT staff shall complete the Evaluation Plan by assigning the appropriate staff the task of evaluating the Model against the requirements of the requested Standard(s). GCT may outsource evaluation tasks in the evaluation process except for the decision on certification, which will only be done by a GCT employee. In the event any of the evaluation process is outsourced, the Client shall be notified of the outsourcing in writing. If the Client objects to the outsourcing, the Client may appeal the decision to outsource the process pursuant to the Complaints, Disputes, and Appeals Documentation Procedure.

GCT shall only rely on evaluation results related to certification completed prior to the application for certification, where it takes responsibility for the results and satisfies itself that the body that performed the evaluation fulfils the requirements contained in the relevant International Standard and those specified by the certification scheme. The impartiality requirements of the evaluation personnel stipulated in the relevant standard shall always be applicable.

7.6.1.2 EVALUATION PLAN

GCT staff shall follow the Evaluation Plan to determine if the requirements of the Standard(s) are met. The GCT evaluation plan shall contain all the elements necessary to decide on certification, including but not limited to:

1. In-Plant Audit - the initial In-Plant audit may be conducted in person or via Zoom (or equivalent)
2. Equipment Evaluation Form - the initial equipment evaluation is conducted when the unit is delivered to the test site
3. Unit Installation Form – to be completed upon installation of the unit
4. Infiltration/Exfiltration Form – to be completed upon installation of the unit
5. Drawing/Schematic
6. Aerator Specifications
7. Diffuser Specifications
8. Alarm Specifications
9. Control Panel Specifications
10. Owner’s Manual
11. Laboratory Data Review

GCT staff shall identify any nonconformance on the Corrective Action Form. The Client shall be responsible for determining and implementing corrective actions and responding using the Corrective Action Form. GCT staff shall confirm the effectiveness of the corrective actions implemented by the Client. If the GCT staff member agrees with the corrective action, he will sign the form and the non-conformance is closed.

7.6.1.3 CRITERIA EVALUATION

GCT staff shall use the Criteria Evaluation Form to determine if the evaluation information collected by GCT staff meets the criteria in the Standard.

7.6.1.4 CERTIFICATION DECISION

The Program Manager shall decide on certification from the Criteria Evaluation Form submitted by the GCT Staff. If in the sole opinion of the Program Manager, the criteria for the Standard have been met, the Program Manager shall certify the model and authorize a draft SPE Report to be prepared. The draft SPE Report shall be forwarded to the client for review. The client shall notify GCT in writing their acceptance of the draft report or propose edits to the draft SPE Report. GCT may accept or reject the edits. The client shall notify GCT in writing upon acceptance of the draft SPE Report using QF054, and the SPE Report shall be considered final.

GCT shall sign the certification certificate, and the model shall be listed on the GCT website. The date on the SPE Report shall be the date the report is finalized.

If the Program Manager recommends against certification, the Program Manager shall authorize a draft SPE Report which indicates why the client certification was not granted. The client shall notify GCT in writing their acceptance of the draft SPE Report or propose edits to the draft report. GCT may accept or reject the edits. The client shall notify GCT in writing using QF054 upon acceptance of the draft report, and the report shall be considered final. If the Client objects to the recommendation against certification, the Client may appeal the decision pursuant to the Complaints, Disputes, and Appeals Documentation Procedure.

7.6.2 SCOPE EXTENSION EVALUATION

When a Client submits an Application for Extension of Scope per the Extending or Reducing Scope Procedure, GCT shall initiate the following actions:

7.6.2.1. SCHEDULING

The Program Manager shall meet with and inform the GCT staff a request an extension of Scope has been received and shall assign the request a SPE Identifier Number. GCT staff shall complete the Evaluation Plan by assigning the appropriate staff the task of evaluating the Model against the requirements of the requested Standard(s). GCT may outsource evaluation tasks in the evaluation process except for the decision on certification, which will only be done by a GCT employee. In the event any of the evaluation process is outsourced, the Client shall be notified of the outsourcing in writing. If the Client objects to the outsourcing, the Client may appeal the decision to outsource the process pursuant to the Complaints, Disputes, and Appeals Documentation Procedure.

GCT shall only rely on evaluation results related to certification completed prior to the application for certification, where it takes responsibility for the results and satisfies itself that the body that performed the evaluation that meet applicable requirements of the ANSI certification for ISO/IEC 17065. The impartiality requirements of the evaluation personnel stipulated in the relevant standard shall always be applicable.

7.6.2.2 EVALUATION PLAN

GCT staff shall follow the Extension of Scope Evaluation Plan to determine if the requirements of the Standard(s) are met.

GCT staff shall identify any nonconformance on the Corrective Action Form. The Client shall be responsible for determining and implementing corrective actions and responding using the Corrective Action Form. GCT staff shall confirm the effectiveness of the corrective actions implemented by the Client. If the GCT staff member agrees with the corrective action, he will sign the form and the non-conformance is closed.

7.6.2.3 CERTIFICATION DECISION

The Program Manager shall decide on certification from the Criteria Evaluation Form submitted by the GCT Staff. If in the sole opinion of the Program Manager, the criteria for the Standard have been met, the Program Manager shall certify the model and authorize a draft SPE Report to be prepared. The draft SPE Report shall be forwarded to the client for review. The client shall notify GCT in writing their acceptance of the draft report or propose edits to the draft SPE Report. GCT may accept or reject the edits. The client shall notify GCT in writing upon acceptance of the draft SPE Report using QF054, and the SPE Report shall be considered final. GCT shall sign the certification certificate, and the model shall be listed on the GCT website. The date on the SPE Report shall be the date the report is finalized.

If the Program Manager recommends against certification, the Program Manager shall authorize a draft SPE Report which indicates why the client certification was not granted. The client shall notify GCT in writing their acceptance of the draft SPE Report or propose edits to the draft report. GCT may accept or reject the edits. The client shall notify GCT in writing using QF054 upon acceptance of the draft report, and the report shall be considered final. If the Client objects to the recommendation against certification, the Client may appeal the decision pursuant to the Complaints, Disputes, and Appeals Documentation Procedure.

7.7.0 TECHNICAL AIDS

QF030 Application for Certification
QF031 Contract for Specific Performance Evaluation
QF033 Evaluation Plan and Checklist
QF037 Equipment Evaluation Form
QF050 Corrective Action Form
QF053 Certification Certificate
QF052 Official Listing
QF043 Letter of Authority to Use the Certification Mark
QF051 Standard Performance Evaluation (SPE) Report Template
QF054 SPE Report Acceptance

7.8.0 EXPLANATORY NOTE

N/A

GULF COAST TESTING, LLC

Application for Certification

COMPANY INFORMATON

Company Name: _____

Contact Name: _____
_____

Company Address: _____

_____

_____
City State Zip

Mailing Address: _____
(if different)

_____

_____
City State Zip

Legal Status of Company: _____

Other Legal Entities of Company: _____

Phone: _____ Fax: _____

Email: _____ Website: _____

Certification Requested

_____ NSF/ANSI Standard 40 _____ NSF/ANSI Standard 46

_____NSF/ANSI Standard 385 _____ NSF/ANSI Standard 245

_____ NSF/Standard 350 _____ Other _____

PRODUCT INFORMATION

Product Name and Model Number: _____

Brief Description of Product: _____

_____

Application for Certification

FACILITY INFORMATION

Facility Address: _____

_____

_____

City State Zip

Phone: _____ Fax: _____

Production Facility Contact _____

Hours of Operation: _____

Total Employees: Salaried_____ Hourly_____

Affidavit: I certify that I agree to comply with the applicable Gulf Coast Testing policies and NSF/ANSI Standards related to the use of the GCT mark. I am authorized by the company to agree that the company will pay for any charges billed for services rendered at the request of the company in the initial evaluation and/or testing of products for Certification.

A check in the amount of $500 is enclosed for the certification application deposit. I understand that upon acceptance by Gulf Coast Testing, LLC, the deposit is non-refundable and charges for all other services will be invoiced as rendered.

_____ _____

Signature **Date**

_____

Printed Name

_____

Title

PLEASE RETURN THIS APPLICATION AND CHECK TO:

GULF COAST TESTING, LLC
5261 Highland Rd, #347
Baton Rouge, LA 70808

MAKE CHECK PAYABLE TO GULF COAST TESTING, LLC.

Agreement is made and entered into this 12th day of September, 2023 by and between **Gulf Coast Testing, LLC**, a **Louisiana limited liability corporation**, with principal offices at 5261 Highland Road, #347, Baton Rouge, Louisiana, 70808, hereinafter referred to as GCT and _____ with principal offices at _____, hereinafter referred to as CLIENT and herein represented by its duly approved agent _____.

1. TERM

The term of this Agreement shall remain in effect until canceled by either party upon thirty (30) days written notice.

2. EVALUATION SERVICES

In consideration of the fees by CLIENT in Section 3 of this contract, CLIENT is submitting a wastewater treatment system described as _____, hereinafter called MODEL. CLIENT desires to have GCT evaluate MODEL in accordance with the NSF/ANSI Standard 40 and NSF/ANSI Standard 245, hereinafter referred to as the STANDARDS. MODEL shall be operated in accordance with CLIENT's operating instructions and the applicable provisions of the STANDARDS. CLIENT is responsible for assuring proper installation of MODEL at GCT's testing facility at 14378 Park Avenue, Prairieville, Louisiana, 70769 and shall sign a form indicating MODEL was properly installed prior to the start of the evaluation. Fees and arrangements for installation and removal of the MODEL are the responsibility of the CLIENT.

As part of the evaluation services, the CLIENT agrees to participate in and/or provide the following information:

1) Detailed information, including ingredients, for MODEL;
2) Detailed schematics of MODEL in CAD or PDF format;
3) Manufacturing Procedures and Processes, as appropriate;
4) Instructions/Manuals for the MODEL;
5) Any additional information as required by the STANDARDS or GCT.

CLIENT is responsible for meeting all provisions of the STANDARDS, including correcting non-conformances, and GCT's certification requirements.

3. COMPENSATION

The costs for the preparation of the report and contractual certification are based on the following three categories: professional activities, field activities, and laboratory testing. Professional activities will include project initiation, supervision of field and laboratory activities, agency liaisons, and report preparation (weekly status, final evaluation report, and annual compliance audit). Field activities will include daily sample collection, field testing, and coordination of any required stress testing. GCT is obligated to provide only one sampler per test site. Additional samplers will be provided by GCT, if available, at a fee. Laboratory testing will be on a per test basis and shall include analytical testing of the influent and effluent samples as required by the STANDARDS.

The total fee for the preparation of the report, contractual certification and the first annual compliance evaluation is $_____. This includes all activities required to evaluate the MODEL in accordance with the STANDARDS and to perform the first annual compliance evaluation on the operation of the MODEL. Included in the evaluation fee is compensation for the initial CLIENT audit. The evaluation fee shall be invoiced equally on a monthly basis over a six month period. Additional costs incurred on this project will be invoiced monthly in

accordance with GCT's Rate Schedule. Payment shall be due within thirty (30) days of invoice date.

4. SUSPENSION AND/OR CANCELLATION OF EVALUATION SERVICES

Should evaluation services be stopped for any reason, CLIENT agrees to pay all fees incurred through the stop date. CLIENT agrees to pay for any additional work performed in conjunction with suspending or cancelling the evaluation. Calculation of charges and an operation, maintenance, and sampling fee will be based on the GCT's Rate Schedule in effect at the time of analysis. Unexpended fees advanced by CLIENT shall be refunded to CLIENT by GCT if this contract is voided prior to expenditure of these funds.

5. USE OF SUBCONTRACTORS

GCT may use qualified subcontractors to perform part of GCT's obligations pursuant to this contract. GCT shall give CLIENT written notice of any subcontractors used by GCT prior to use of the subcontractor. CLIENT shall have forty-eight (48) hours after receipt of notice to object to the subcontractor and the reason for such objection. An objection constitutes the CLIENT notifying GCT on the Complaint Documentation Form. The objection shall be handled using GCT's Complaints, Disputes, and Appeals Documentation Procedure.

6. EXTENSION OF TESTING

If an extension of the testing is required because a component failure of MODEL not attributable to GCT, MODEL performance, or any additional research and development not covered under this contract at the CLIENT's request is undertaken, additional charges will be assessed at the rates specified in the GCT's Rate Schedule, plus additional sample analysis charges. These charges will be invoiced monthly, as services are provided. "Extension" includes interruptions in testing but does not include periods following termination of the evaluation that necessitates a new evaluation.

7. MODEL LOSS AND/OR DAMAGE

CLIENT agrees to assume all risks and hold GCT harmless for loss or damage of any kind to MODEL and any equipment or materials placed with GCT under the terms of this agreement, whether such loss or damage results from fire, vandalism, strikes, floods, other acts of God, or other agencies.

8. REASONABLE ACCESS OF ENTRY

GCT agrees to provide CLIENT or representatives of CLIENT reasonable access to GCT's testing facility for purpose of MODEL examination. CLIENT shall give GCT notice prior to access, and the access shall require oversight by appropriate designated GCT staff, to CLIENT. CLIENT shall be billed for GCT oversight during all visits pursuant to the current GCT Rate Schedule. Failure of CLIENT to comply with these requirements is grounds for cancellation of contract by GCT.

9. PRELIMINARY DATA

CLIENT agrees to refrain from using any and all data provided by GCT at any time during the period of the contract, except for in-house review purposes. This data is preliminary, may be subject to change, and is provided for CLIENT's information only. Use of preliminary data in any form, or final data taken out of context from all data generated during the contract, is grounds for cancellation of contract by GCT.

10. PROHIBITION OF UNAUTHORIZED DISTRIBUTION OF FINAL REPORT

Only the final "Compliance Evaluation Report for Individual Mechanical MODELs" obtained directly from GCT is considered an authorized report. GCT's reports shall not be copied by CLIENT for other than CLIENT's internal purposes unless authorized for distribution by GCT. Any unauthorized distribution, publication, or other unauthorized use of reports is prohibited and is grounds for cancellation of contract by GCT. GCT will respond to a request from CLIENT or regulatory agency for a GCT report within 5 business days. The GCT report request response shall consist of an electronic copy of the GCT report transmitted to the requesting party and CLIENT via electronic mail.

11. COMPLETION OR TERMINATION OF EVALUATION SERVICES

CLIENT agrees to remove MODEL from the test site no later than sixty (60) days following completion or termination of the evaluation services, or termination of this contract, or at such time as agreed by GCT. CLIENT agrees to pay a storage charge pursuant to GCT's rate schedule for every week or part of a week that the MODEL remains at the test site beyond the date agreed for removal.

12. LISTING

In the event MODEL complies with all applicable provisions of the STANDARDS and GCT's certification requirements, GCT agrees to:

1) Provide a signed Standard Performance Evaluation (SPE) Report to CLIENT containing the following information:
    a) GCT's address and ANSI certification number;
    b) Client's name and address;
    c) Certification date;
    d) Term of certification;
    e) Scope of certification;
    f) Any additional information required by the STANDARDS.
2) Publicly list MODEL on GCT's website (www.gctla.com) listing;
    a) CLIENT's name and address;
    b) MODEL identification;
    c) STANDARD for which certification was granted.
3) Provide information, upon request, regarding the validity of the certification
4) Provide information to CLIENT regarding and changes in the STANDARDS affecting CLIENT pursuant to GCT's policies and procedures

The evaluation service, as defined by this contract, is also a contractual relationship that authorizes the use of the GCT's mark on products that comply with the STANDARDS. By using the GCT Mark®, CLIENT agrees to:

1) Apply the GCT Mark® to each individual product except where the physical size of the unit or the type of product does not permit this, in which case the mark may be applied to the smallest package in which the unit is marketed.
2) Only make claims regarding MODEL consistent with certification;
3) With the exception of the executive summary, only reproduce the certification documents in their entirety;
4) The CLIENT shall not specify any function or make any claim or the like in user information that could lead purchasers to believe that performance of the product or its

use is covered by the certification when in fact they are not and make claim for MODEL that would bring GCT into disrepute;
5) Complies with GCT's requirements in referring to the certification in any documents, brochures, or advertisements;
6) Make any changes to MODEL to comply with changes in the STANDARDS;
7) Limit the use of the GCT Mark® to the provisions of the STANDARDS and GCT's program requirements;
8) Notify GCT, without delay, of changes that may affect its ability to conform with the provisions of the STANDARDS or GCT's certification requirements.

13. ANNUAL COMPLIANCE AUDIT

In the event, the STANDARDS call for an annual compliance audit, CLIENT agrees to:

1) Make all necessary arrangements for GCT to conduct the annual compliance audit;
2) Continue to meet all the provisions of the STANDARDS;
3) Notify GCT of any changes to MODEL, including process or production changes and changes in management;
4) Investigates and takes appropriate action on all complaints and provides to GCT the documentation of action taken;
5) Allow for the participation of observers;
6) Provide GCT information for any manufacturing facilities that produce certified products;
7) Provide GCT information on MODELS installed, including date and location;
8) Verify information from material suppliers by providing records as requested;
9) Provide GCT with any additional information to verify compliance with the STANDARDS;
10) Correct any nonconformity from the audit pursuant to GCT's procedures.

GCT agrees to:

1) Notify CLIENT 60 days prior to the date of the audit
2) Inform the CLIENT of the results of the audit

The annual fee for the compliance audit is $10,000 per year. This will be an annual fee to fulfill the requirements of this contract. GCT reserves the right to increase the fee with thirty (30) days' notice to CLIENT. The annual fee increase shall be no greater than 3% per year.

14. TERMINATION OF CONTRACT

Termination of the contract may occur for the following reasons:

1) CLIENT no longer wishes to have the product certified;
2) MODEL no longer meets the criteria of the STANDARDS;
3) GCT terminates the contract for cause;
4) Evaluation results did not meet provisions of the STANDARDS and CLIENT did not or could not correct the nonconformance;
5) Failure to comply with the STANDARDS or GCT's requirements concerning the annual compliance audit;
6) Misrepresentation of the certification scheme, misleading use of the license or misuse of the GCT Mark® in any way.

Upon termination, GCT shall:

1) Notify CLIENT in writing the contract has been terminated;
2) Change the public listing records to remove Model.

Upon notification of termination by GCT, the CLIENT shall:

1) Cease selling and offering the MODEL for sale with the GCT Mark® applied to the product;
2) Discontinue use of all advertising matter that contains reference to the MODEL with the GCT Mark®;
3) Discontinue use of all advertising matter that contains reference to the MODEL complying with the STANDARDS as determined by GCT.

15. ENVIRONMENTAL AND/OR HEALTH HAZARDS

CLIENT hereby certifies and represents that CLIENT has complied with all applicable rules and regulations issued under Toxic Substances Control Act (Public Law 94-469), and that unless otherwise exempted, the MODEL furnished for the SPE does not include or use any chemicals other than those listed in the Inventory of Chemical Substances or a Revised Inventory of Substances issued by the US Environmental Protection Agency, and that CLIENT will indemnify and hold harmless GCT from and against any and all claims, lawsuits, damages, costs and expenses, penalties and fines arising out of any failure to so comply with this paragraph.

16. COLLECTION

In the event of any litigation arising from or related to the services provided under this Agreement, the prevailing party will be entitled to recovery of all reasonable costs incurred, including staff time, court costs, attorneys' fees and other related expenses. Interest on any unpaid amounts shall accrue after the due date at the rate of twenty-eight percent (28%) per annum or the maximum rate allowed by law, whichever is less. Any claim that the invoice is incorrect or claim that a credit is due for any reason must be made within forty-five (45) days of the receipt of the invoice or such claim is waived. The exclusive forum for the resolution of any dispute arising pursuant to this contract is the 19th Judicial District Court located in East Baton Rouge Parish, Louisiana.

17. CLAIM FOR PROFESSIONAL NEGLIGENCE

The CLIENT shall make no claim for professional negligence, either directly or in a third party claim, against GCT unless the CLIENT has first provided GCT with a written certification executed by an independent testing professional currently practicing in the same discipline as GCT. This certification shall: a) contain the name and license number or proof of accreditation of the certifier; b) specify each and every act or omission that the certifier contends is a violation of the standard of care expected of the testing professional under similar circumstances; and c) state in complete detail the basis for the certifier's opinion that each such act or omission constitutes such a violation. This certificate shall be provided to GCT not less than thirty calendar days prior to the presentation of any claim or the institution of judicial proceeding.

18. CONFIDENTIALITY

GCT is responsible for ensuring that secrecy is maintained by its employees concerning all confidential information with which they become acquainted as a result or their contacts with the CLIENT. As a result, GCT will need to obtain information which will enable it to conduct an appropriate evaluation and testing of the MODEL. During the course of the evaluation and testing, GCT will obtain information through interviews, observations and records review. In addition, the CLIENT will convey to GCT information that might constitute trade secrets and/or proprietary information. All information and resulting work products shall be handled under the following terms and conditions:

GCT shall, for fifteen years from the date of this agreement, maintain confidential and secret all information obtained from the CLIENT and shall not disclose the same to any third party; additionally, GCT may make no use of the information for any other purpose other than to perform the required evaluation and conduct the testing, except with the expressed written consent of the CLIENT.

GCT understands that no right or license to use any of the information provided is expressly implied or given hereunder, and GCT agrees to return all information to the CLIENT, if requested, promptly upon completion of the evaluation and testing.

IN WITNESS WHEREOF, the parties hereto have caused this Agreement to be executed as of the day and the year first above written.

CLIENT	**GULF COAST TESTING, LLC**
By _____	By _____
Title _____	Title _____
ATTEST/WITNESS:	ATTEST/WITNESS:
By_____	By_____

GCT GULF COAST TESTING, LLC

Evaluation Plan and Document Checklist

Manufacturer				SPE Number	
Model Name		Model Type		Test Site	☐ NA
Scope of Certification	NSF/ANSI Standard 40 ☐	NSF/ANSI Standard 245 ☐	NSF/ANSI Standard 350 ☐	Other ☐	

Item	Responsible GCT Employee	Date	Document Available
Contract Quality Form QF031	William		☐ Yes ☐ No ☐ NA
Infiltration/Exfiltration Quality Form QF034	Jill		☐ Yes ☐ No ☐ NA
Unit Installation Quality Form QF035	Jill		☐ Yes ☐ No ☐ NA
In-Plant Audit Quality Form QF036	Jill		☐ Yes ☐ No ☐ NA
Equipment Evalution Quality Form QF037	Jill		☐ Yes ☐ No ☐ NA
Aerator Testing Quality Form QF040	Jill		☐ Yes ☐ No ☐ NA
Drawing/Schematic	Jill		☐ Yes ☐ No ☐ NA
Aerator Specs/Curves	Jill		☐ Yes ☐ No ☐ NA
Diffuser	Jill		☐ Yes ☐ No ☐ NA
Alarm	Jill		☐ Yes ☐ No ☐ NA
Data Review	Ann		☐ Yes ☐ No ☐ NA
SPE Report Quality Form 051	William		☐ Written
Criteria Evaluation Quality Form 039	Gary		☐ Received
Approval/Denial of Certification	William		☐ Approved ☐ Denied
Reports Sent to Client			
SPE Report Quality Form 051	William		☐ Yes ☐ No
Certification Certificate Quality Form 053	William		☐ Yes ☐ No
Authority To Use Mark Quality Form 043	William		☐ Yes ☐ No
Official Listing Form Quality Form 052	William		☐ Yes ☐ No

Deputy Program Manager _____ Date _____

QA/QC Manager _____ Date _____

Gulf Coast Testing, LLC
5261 Highland Road #347
Baton Rouge, Louisiana 70808
(225) 281-3792 ● william.daniel@gctla.com

Equipment Evaluation Form

SPE_____ (If Applicable)

Company Name: _____ Date: _____

Model Evaluated: _____ ☐ Listed ☐ New

Model Description: _____ NSF/ANSI Standard _____

Other Models in Series: _____

INSTRUCTIONS: Evaluate for each of the following requirements. (A=acceptable; X=not acceptable (see narrative); N=not applicable) Key: Standards (40, 245, 350); PM = GCT's Policy Manual; QP = GCT's Quality Procedures;

		GENERAL (GULF COAST TESTING POLICIES)
___	1	Model (QP03, QP04, QP06, QP07)
___	2	GCT® Mark (QP15, PM 4.4, 4.7, 4.9, 9.1, 9.2)
___	3	Literature (PM20)
___	4	Records on File (QP11, PM7, PM21)
___	5	Reevaluation/Periodic Monitoring (QP11, PM5, PM17)
___	6	General Format of Official Listing (PM16)
___	7	Verified Corrective Action (QP10, PM11)
___	8	Authorized Representatives (PM17, PM22)
___	9	Additional Models (QP05)
___	10	Distribution of Test Data (QP41)
		MATERIALS
___	11	Interior Surfaces (Standards 4.1)
___	12	Exterior Surfaces (Standards 4.2)
___	13	Welding (Standards 4.3)
___	14	Dissimilar Metals (Standards 4.4)
		DESIGN AND CONSTRUCTION
___	15	Exposed Surfaces (Standards 5.1)
___	16	Structural Integrity (Standards 5.2)
___	17	Water Tightness (Standards 5.3)
___	18	Noise (Standards 5.4)
___	19	Mechanical Components (NSF 5.5)
___	20	Electrical Components (NSF 5.6)
___	21	Access Ports (NSF 5.7)
___	22	Failure Sensing and Signaling Equip (Standards 5.8)
___	23	Flow Design (NSF 5.9)
___	24	Data Plate & Service Label (Standards 5.10)
___	25	Alternate Air Delivery Components (Standards 5.11)

		MANUALS
___	26	Owner's Manual (Standards 6.1)
___	27	Instruction Manual (Standards 6.2.1)
___	28	Operation and Maintenance Manual (Standards 6.2.2)
___	29	Troubleshooting and Repair Manual (Standards 6.2.3)
___	30	Other Documentation (Standards 7.0)
		SCALING AND ALTERNATE SYSTEMS
___	31	Design Review (Standard 40, Annex 1)
___	32	Tanks (Standard 40, Annex 1)
___	33	Structural Integrity (Standard 40, Annex 1)
___	34	Air Delivery (Standard 40, Annex 1)
___	35	Media (Standard 40, Annex 1)
___	36	Other (Standard 40, Annex 1)
		OPERATION AND MAINTENANCE
___	37	Limited Warranty (NSF Annex A.1)
___	38	Initial Service Policy (NSF Annex A.2.1)
___	39	Six-month service calls (NSF Annex A.2.1.1)
___	40	Notification (NSF Annex A.2.1.3)
___	41	Extended Service Policy (NSF Annex A.2.2)
___	42	Standby Parts (NSF Annex A.2.3)
___	43	Availability of Services (NSF Annex A.2.4)
		INSPECTION
___	44	Repeated items from last evaluation:

Gulf Coast Testing's contract and policy prohibit the use of the Gulf Coast Testing® mark on products not in full compliance with the applicable standard and policies. Completion of this report does not constitute acceptance for Certification/Listing.

Inspector: _____ Signature: _____

Manufacturer: _____ Signature: _____

If Printed May Be Out of Date

GULF COAST TESTING, LLC

Corrective Action Form

Audit No.:_____ **Non-Conformance No.:** _____

Complaint No.:_____ **SPE No.:** _____

Description of Problem:

Auditor: _____ **Date:** 09/07/22

Received by: _____ **Title**: _____ **Date:** _____

Root Cause:

Corrective Action:

Acknowledged By: _____ **Title** _____ **Date:** _____

Description of Follow-Up Audit:

Auditor: _____ **Date:** _____

Received by: _____ **Title**: _____ **Date:** _____

STANDARD 40 SPECIFIC PERFORMANCE EVALUATION REPORT

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APPENDICES

Gulf Coast Testing, LLC
5261 Highland Road #347
Baton Rouge, Louisiana 70808
(225) 281-3792 ● william.daniel@gctla.com

SPE Report Acceptance

Company Name	
Model Tested/Analyzed	
Standard	
SPE Report Number	

By signing below, I, _____, in my capacity as_____, for and on behalf of **CLIENT**, formally accept **SPEXXX** Report as final. I warrant that I have the authority to accept the project on behalf of **CLIENT**.

_____

Signature Date

_____

Printed Name and Title

CERTIFICATION CERTIFICATE

Gulf Coast Testing LLC's Residential Aerobic Wastewater Testing Program personnel have performed a complete specific performance evaluation of the MANUFACTURER Model XXXXX XXX-hundred (XXX) gallon per day, Single Family Residence aerobic wastewater treatment system, manufactured by MANUFACTURER of CITY, STATE using the requirements and provisions of the NSF/ANSI Standard XX (20XX) and the Gulf Coast Testing Wastewater Certification Quality Procedures Manual. MANUFACTURER Model XXXXX aerobic wastewater treatment system has successfully completed all the requirements of the NSF/ANSI Standard XX (20XX) for Class 1 effluent.

The observations, data, analyses and results contained in this report are hereby certified to be correct.

All feeding and data collection was performed by Gulf Coast Testing, LLC at their wastewater test site in Ascension Parish located at 14378 Park Avenue, Prairieville, Louisiana. All laboratory testing was performed at Gulf Coast Testing LLC's laboratory also located at 14378 Park Avenue, Prairieville, LA.

MANUFACTURER and Gulf Coast Testing, LLC hereby agree to comply with the continual follow-up certification procedures as specified in the Gulf Coast Testing LLC's Wastewater Certification Manual. All data contained in this report is the property of Gulf Coast Testing, LLC and can only be released with the consent of Gulf Coast Testing, LLC.

This certification is effective as of MONTH DAY, 20XX and good for seven (7) years ending on MONTH DAY, 20XX.

_____ _____

Program Manager MONTH DAY, 20XX Quality Assurance Officer MONTH DAY, 20XX

Letter of Authority to Use Mark

Date

Company Name
Address
City, State Zip Code

Ref: Use of Certified Mark® Effective Month/Day/Year through Month/Day/Year

For Individual Aerobic Wastewater Treatment Plant
Make/Model

Dear _____:

The is letter is being provided to Company Name to allow for the above-mentioned Treatment Plant to use the Gulf Coast Testing, LLC's Certification Mark® after successfully completing the required testing as established by the NSF/ANSI Standard (XXXX). The certification Mark® is to be used solely on the above referenced treatment plant. Any misuse of the Mark®, *i.e.,* on non-complying products or modified products prior to retesting will be sufficient cause for Gulf Coast Testing, LLC to demand the removal of the certification Mark® from all non-complying products.

Very Truly Yours,

Gulf Coast Testing, LLC

_____
Program Manager

GCT GULF COAST TESTING, LLC

Official Website Listing

http://www.gctla.com

Product Information

Product Name
Manufacturer
Original Certification Date
Certification Date
Certification End Date
Capacity
Material
Type
Class
Certification NSF/ANSI Standard
Approved Aerator(s)
- **Manufacturer Model SPE#**

Approved Diffuser(s)
- **Manufacturer Model SPE#**

Approved Alarm(s)
- **Manufacturer Model SPE#**

Documents
- **Document Type PDF File**

8.0 REVISION OF A TEST REPORT

8.1.0 PURPOSE

This section describes the activities for revising test reports.

8.2.0 POLICY

All Quality Procedures are written to comply with GCT policy established in the Quality Manual section with which this section corresponds and ISO/IEC 17065 and ISO/IEC 17025.

8.3.0 APPLICATION

The Program Manager perform this section.

8.4.0 DEFINITIONS

N/A

8.5.0 REFERENCES

QF051 Standard Performance Evaluation Report

8.6.0 PROCEDURES

In the event that a Standard Performance Evaluation Report must be revised, all persons to whom GCT has sent a copy of the original report must be advised and sent a revised report.

1. Based on the investigation that led to the issuance of a revised SPE, generate a transmittal letter which describes:

    a. The nature of the error, change, or oversight
    b. The impact of the error, change, or oversight
    c. The revised or corrected information
    d. The impact of the revised or corrected information

2. Identify the recipients of the original SPE report.
3. Contact each recipient and inform them of the revision.
4. Send transmittal letter and revised SPE to each recipient.

8.7.0 TECHNICAL AIDS

N/A

8.8.0 EXPLANATORY NOTE

N/A

9.0 INTERNAL QUALITY ASSURANCE AUDIT

9.1.0 PURPOSE

The purpose of this procedure is to describe the processes and activities necessary to organize, conduct, and respond to quality system internal audits to ensure the suitability and effectiveness of the Gulf Coast Testing, LLC quality system. This procedure identifies the responsible entities for staffing, planning, and conducting internal audits. These internal audits encompass all activities, processes, and documents that form a part of the Gulf Coast Testing, LLC quality system.

9.2.0 POLICY

All Quality Procedures are written to comply with GCT policy established in the Quality Manual section with which this section corresponds and ISO/IEC 17065.

9.3.0 APPLICATION

This section is performed by the QA/QC Manager.

9.4.0 DEFINITIONS

1. **Auditee** – the organization or representative from an organization that is audited.

2. **QA/QC Manager** – The individual who manages the internal auditing program. The QAO appoints the lead auditor, organizes the quality audit, reviews the nonconformance, evaluates the implementation of corrective action, and reports the results to the Program Manager.

3. **Lead Auditor** – An individual qualified through training or experience to organize and direct a quality audit, report nonconformance, and recommend corrective action. The auditor shall be knowledgeable in certification, auditing, and the requirements of ISO/IEC 17065 and shall be appointed by the QA/QC Manager.

4. **Audit Number** – the audit identifier.

5. **Audit Plan** – an outline that describes the audit activities to be conducted.

6. **Audit Report** – a summary of the findings of the audit.

7. **Audit References** – support material examined which relate to the subject audited.

8. **Audit Schedule** – A formal listing of all planned audits for the upcoming calendar year. The official version of this schedule is maintained on the quality web site.

9. **Closure** - Resolution of open items and findings.

10. **Internal Audit** – A systematic and independent examination to determine the Gulf Coast Testing, LLC quality system has been effectively implemented and maintained.

11. **Nonconformance** – Non-fulfillment of a specified quality system requirement.

12. **Observation** – Objective evidence that creates concern on the part of the auditor. It is not a non-fulfillment of the requirements but may indicate future problems. A response by the Auditee is usually not required.

13. **Objective Evidence** – Records or statements of fact pertaining to implementation or effectiveness of an element of the quality system.

14. **Observed Concern** – A condition that may lead to a nonconformance in the future. Corrective action is not required but is strongly recommended.

15. **Open Item** – A nonconformance from a previous audit that has not been closed.

9.5.0 REFERENCES

ISO/IEC 17065 Section 8.6 Internal Audits

9.6.0 PROCEDURES

9.6.1 SCHEDULING

During the fourth quarter of each calendar year, the QA/QC Manager will appoint a Lead Auditor to audit the procedures, programs, and/or work practices of Gulf Coast Testing, LLC. This individual will be independent of the certification activities of GCT and no auditor shall audit their own work. The Lead Auditor will schedule the audit and select additional auditors, if necessary, to conduct the scheduled audit. The QA/QC Manager will insure that the employees of GCT are aware of the audit schedule.

9.6.2 AUDIT PLANS

The Lead Auditor will develop the audit plan for GCT in conjunction with the QA/QC Manager. The Program Manager will be notified of the audit plan on a timely basis. Each audit plan will include the following:

1. **Auditee Identification**: – The Gulf Coast Testing, LLC activity that is to be audited.
2. **Audit Objective**: – The reason why the audit is being conducted for each audit scheduled.
3. **Audit Criteria** – The information to determine if the certified body is meeting the applicable requirements
4. **Audit Date(s)** – The date(s) of the audit.
5. **Audit Number** – The audit number
6. **Auditor(s)** – The name(s) of the individual(s) who will conduct the audit.
7. **Open Non-conformances** – Any open nonconformance(s) from previous audits.

8. **Equipment and Resources** – Any support materials required to conduct the audit.
9. **Audit Report Distribution List** – The individuals who will receive the audit report.
10. **Anticipated Audit Report Date** – The date when the individuals on the distribution list will receive the audit report.

After preparing and reviewing the audit plan, the Lead Auditor and the QA/QC Manager will sign and date the plan. The auditor will include the Internal Audit Checklist Form with the audit plan. Upon completion, the audit plan, the audit checklist, and the audit report constitute the audit report package for archiving purposes.

9.6.3 AUDIT CHECKLISTS

Auditors will the Internal Audit Checklist Form to serve as the audit working papers used to document the audit process. Quality system documents will provide the requirements for the checklist. The audit checklists will:

1. Specify the audit number as follows: GCTXXXX-XX. Example: GCT2023-01 will mean it was the first audit for Gulf Coast Testing, LLC in 2023. The audit number will also identify the corresponding audit report.
2. Identify the audit criteria (requirements/standards/procedures)
3. Specify the Audit Criteria Identifier: Under this heading is listed the information by which the auditor can make a proper determination of whether the requirement has been met.

9.6.4 CONDUCTING THE AUDIT

The Lead Auditor will interview staff, review documents, and observe practices to obtain the audit information. The auditor will record information collected onto the audit checklist, which will provide the basis for the Draft Audit Report. The auditor may include additional notes and exhibits as the working papers.

9.6.4.1 AUDIT CHECKLIST

The auditor will complete the audit checklist with the following information:

1. **Compliance**: The auditor shall note whether the certified body has complied with the requirement, not complied with the requirement, or determined the requirement to be non-applicable. The auditor shall also note any opportunities for improvement.
2. **Auditor Notes/Evidence and Non-Conformances**: The information gathered by the auditor(s) to support conformance or nonconformance to the audit criteria requirement. The auditor will assign a number to each nonconformance as described in the Revision of a Test Report Procedure, Section 8.6.4.2 and will report non-conformances using the Corrective Action Form.
3. **Comments**: Clarifying remarks recorded on the Narrative Page Form are required for nonconformance.

4. **Signing**: The auditor will sign and date the completed audit checklist at the conclusion of the audit.

9.6.4.2 DOCUMENTING NON-CONFORMANCES

The auditor will identify each nonconformance using the audit number followed by the initials of the Lead Auditor and a sequence number, for example, 01, 02, 03, etc. The Lead Auditor will transfer this number to the Corrective Action Form to allow traceability to the audit checklist. For example: Gulf Coast Testing, LLC 03-01-ACS-01 identifies the first non-conformance in the audit report of Gulf Coast Testing, LLC 03-01 and the non-conformance is identified by the auditor whose initials are ACS. The QA/QC Manager will investigate to determine the root cause of each identified non-conformance. The QA/QC Manager or his/her designee is responsible for determining and implementing corrective actions. Auditors will report corrective actions on the Corrective Action Form. The Lead Auditor will confirm the effectiveness of corrective actions implemented by the QA/QC Manager. The Lead Auditor and the QA/QC Manager will meet with the Program Manager and report their findings. This action constitutes closure. The QA/QC Manager will document closure of each corrective action on the Non-conformance Report.

9.6.4.3 USING THE AUDIT OBSERVATIONS REPORT

The auditor may prepare an Audit Observations Report on a separate sheet to document auditor concerns that may be potential non-conformances, and/or to identify opportunities for continuous improvement of the company's quality system.

9.6.5 AUDIT REPORT

The Lead Auditor will prepare the final audit report within seven (7) days from the date of the audit. The Lead Auditor may use the non-conformance identifiers in a format corresponding to that of the audit criteria in place of the individual Corrective Action Form. The Lead Auditor will attach the Corrective Action Form(s) and the Audit Observations Report, if any, to the audit report. The auditor will provide a copy of the report to the QA/QC Manager and to any other individuals on the authorized distribution list. The QA/QC Manager is required to submit formal responses to audit findings to the Lead Auditor within seven days after receiving the audit report. The QA/QC Manager is not required to submit formal responses to audit observations. The Lead Auditor will provide a copy of the audit report and all attachments to the QA/QC Manager.

9.6.6 AUDIT FOLLOW UP

The QA/QC Manager will review the non-conformances and communicate the results to the GCT personnel responsible for the area audited. GCT will implement corrective actions and transmit a response to the Lead Auditor for review.

In the event the audit discloses events which cast doubt on the validity of client results, GCT shall notify the client within thirty (30) days of the finding.

9.6.7 AUDIT CLOSURE

After reviewing the QA/QC Manager's response, the Lead Auditor will note closure by completing the bottom of Corrective Action Form. If the review indicates that the Lead Auditor needs to implement further corrective action before closure, the Lead Auditor will notify the QA/QC Manager.

The Lead Auditor will forward the Corrective Action Form, stating the verified corrective action to the QA/QC Manager who will determine if the corrective action is satisfactory. If it is satisfactory, the QA/QC Manager will indicate closure by signing the Corrective Action Form. The QA/QC Manager records and maintains the status of all Corrective Action Forms. Upon closure of all Corrective Action Forms for a given audit number, the QA/QC Manager shall notify the Program Manager that all Corrective Action Forms for the audit in question are closed.

9.6.8 DISTRIBUTION

The QA/QC Manager will provide the Program Manager with a copy of each audit report. The Program Manager will present the status of the auditing program and the results of audits conducted at the audit review and the next scheduled Management Review.

9.7.0 TECHNICAL AIDS

QF050 Corrective Action Form
QF046 Narrative Page Form

9.8.0 EXPLANATORY NOTE

N/A

Gulf Coast Testing, LLC
5261 Highland Rd, #347
Baton Rouge, Louisiana 70808
(225) 281-3792 ● william.daniel@gctla.com

Audit Narrative Page

Audit Date: _____ **Audit Number:** _____

Model Number/Trade Designation, Standard, and applicable Standard or policy section shall be referenced along with cited deficiency.

Inspector's Name

Inspector's Signature

Manufacturer's Representative Name

Manufacturer's Representative Signature

Corrective Action Form

Audit No.:_____ **Non-Conformance No.:** _____

Complaint No.:_____ **SPE No.:** _____

Description of Problem:

Auditor: _____ **Date:** 09/07/22

Received by: _____ **Title**: _____ **Date:** _____

Root Cause:

Corrective Action:

Acknowledged By: _____ **Title** _____ **Date:** _____

Description of Follow-Up Audit:

Auditor: _____ **Date:** _____

Received by: _____ **Title**: _____ **Date:** _____

10.0 CORRECTIVE ACTIONS

10.1.0 PURPOSE

The purpose of this section is to describe how corrective action eliminates the cause of non-conformity.

10.2.0 POLICY

All Quality Procedures are written to comply with GCT policy established in the Quality Manual and ISO/IEC 17065 and ISO/IEC 17025.

10.3.0 APPLICATION

This section is performed by the QA/QC Manager.

10.4.0 DEFINITIONS

Corrective Action - Identification and elimination of the causes of a problem, thus preventing its recurrence.

Nonconformance **-** An observation or finding that indicates a policy or practice is contrary to the requirements of ISO/IEC 17065, ISO/IEC 17025, or GCT's Quality Procedures.

10.5.0 REFERENCES

ISO/IEC 17065 – Section 8.7 Corrective Actions

10.6.0 PROCEDURES

10.6.1 Identifying a Nonconformance

All GCT employees are required to follow all GCT Quality Procedures and SOP's. In the event a nonconformance occurs following a procedure, SOP, or any part of the GCT Quality System, the GCT employee is required to immediately report the nonconformance using the Corrective Action Form.

10.6.2 Identifying the Root Cause of a Nonconformance

Root cause analysis is a process by which GCT employees identify the true cause of a nonconformance. Common causes of nonconformities include:

1) Poor communication;
2) Faulty or missing procedures;
3) Equipment malfunction or lack of maintenance;
4) Lack of training;
5) Lack of understanding of requirements;
6) Failure to enforce rules;
7) Previous corrective actions fail to address root causes of problems

10.6.3 Correcting the Nonconformity

The Corrective Action Form will be used to assure that corrective actions are documented, implemented, do not reoccur, and the corrective action is appropriate to the impact of the problem encountered. The corrective action will be implemented in a timely manner, and the QA/QA Manager shall confirm the effectiveness with a follow-up audit.

In the event the root cause analysis casts doubt on GCT's compliance with its Standards, GCT shall schedule an internal audit as soon as possible.

10.7.0 TECHNICAL AIDS

QF050.Corrective Action Form

10.8.0 EXPLANATORY NOTE

N/A

Corrective Action Form

Audit No.:_____ **Non-Conformance No.:** _____

Complaint No.:_____ **SPE No.:** _____

Description of Problem:

Auditor: _____ **Date:** 09/07/22

Received by: _____ **Title**: _____ **Date:** _____

Root Cause:

Corrective Action:

Acknowledged By: _____ **Title** _____ **Date:** _____

Description of Follow-Up Audit:

Auditor: _____ **Date:** _____

Received by: _____ **Title**: _____ **Date:** _____

11.0 NEW AND CONTINUING COMPLIANCE REPORTS

11.1.0 PURPOSE

The purpose of this section is to describe the process of the New and Continuing Compliance Report, which determines the new and continuing compliance by the Client with the program standards and policies.

11.2.0 POLICY

All Quality Procedures are written to comply with GCT policy established in the Quality Manual section with which this section corresponds and ISO/IEC 17065.

11.3.0 APPLICATION

This section is performed by the Program Manager.

11.4.0 DEFINITIONS

Authorized Representative – Organization, group, individual, or other entity that is authorized by the Client to distribute, sell, install, or service residential wastewater treatment products.

11.5.0 REFERENCES

Quality Manual
Standards
GCT Certification Policies for Wastewater Treatment Devices

11.6.0 PROCEDURES

11.6.1 SCHEDULING COMPLIANCE REPORTS

During the fourth quarter of each year or as scheduled by the Program Manager, the Program Manager will conduct a continuing compliance audit at the Client's production facility. The Program Manager will designate the GCT personnel required to be present at the audit. The Client shall disclose to GCT the name, address, and telephone number for each authorized representative of Certified Residential Wastewater Treatment Systems or other agent providing service for certified systems. All correspondence generated as a result of scheduling will become part of the audit report.

11.6.2 AUDIT PLANS

The GCT Program Manager will develop an audit plan for each Client and authorized representative audited. Each audit plan will include the following:

1. Auditee Identification – Client or Authorized Representative to be audited
2. Audit Objective – Reason why audit is being conducted for each audit scheduled
3. Audit Criteria – Procedures, technical specifications, standard operating procedures, and other associated requirements appropriate to audit

4. Audit Date – Date(s) of audit
5. Audit Number – Audit number as described in Section 11.6.3 of this document
6. Auditors – GCT personnel who will conduct audit
7. Documentation Identification – Procedure(s) or technical protocol(s) to be addressed in audit
8. Open Non-conformances – Any open non-conformances from previous audits
9. Equipment and Resources – Any support material required to conduct audit
10. Audit Report Distribution List – Individuals who will receive audit report
11. Anticipated Audit Report Date – Date when individuals on distribution list will receive audit report.

In the event of a remote audit, the Program Manager will first verify the adequacy of resources required to ensure and effective audit outcome. The use of the internet or other remote communication for audit purposes shall be mutually agreed upon by the body being audited and the body performing the audit in accordance with information security and data protection measures and regulations. The Program Manager shall verify the manufacturer has the competency and ability to understand and utilize the information and communication technologies employed to achieve the desired results of the audit. The individual(s) preparing and reviewing the audit plan will sign and date the plan. In the event of a remote audit, the documents shall be transmitted to the manufacturer for signature. The Program Manager will include the audit checklists with the audit plan. Upon completion of the audit plan, the checklists, correspondence, and the audit report shall constitute the audit report package for archiving purposes.

11.6.3 AUDIT CHECKLISTS

The auditor will use the Manufacturer's Audit Checklist or Manufacturer's Audit Checklist for Remote Audits, describing the items to be investigated. The audit checklists will serve as the audit working papers used to document the audit process.

The audit checklist will:

1. Identify the auditee
2. Specify the audit number as follows: Client Name XX-01. Example: Smith Manufacturing 23-01 will mean the first audit of Smith Manufacturing for the year 2023. The audit number will also identify the corresponding audit report.

3. Identify the applicable audit criteria:
    a. Standards
    b. GCT Quality Manual
    c. GCT Quality Procedures.

11.6.4 CONDUCTING THE AUDIT

The auditor will travel to the Client's Plant or conduct a remote audit on the agreed upon date to conduct the audit. In the event of a remote audit, the auditor shall conduct the audit by an agreed upon technology. The auditor will interview the Client or the Client's designated representative and review all documents, including but not limited to:

1. Shipping and receiving records (not included for remote audits)

2. Component list and drawings of Client's certified products
3. Product Literature (warranty, owner's manual, installation manual)
4. Complaint Records
5. GCT Quality Manual
6. Advertising Literature
7. Authorized Representative Inspections
8. Any other documents auditor may request.

11.6.4.1 AUDIT CHECKLIST

The auditor will complete the Manufacturer's Audit Checklist with the following information:

1. Objective Evidence: Information gathered by the auditor(s) to support conformance or nonconformance to the audit criteria requirement. The auditor will assign a number to each nonconformance as described in Section 11.6.4.2 of this document and will report non-conformances using the Corrective Action Form.
2. Comments: Clarifying remarks using the Narrative Page – required for non conformances.
3. Signing: Auditor will sign and date the completed audit checklist at the conclusion of the audit. For remote audits, the documents will be sent to the client for signature upon conclusion of the audit.

11.6.4.2 DOCUMENTING NON-CONFORMANCES

The auditor will identify each non-conformance using the Client name and audit number followed by the initials of the auditor and a sequence number, for example, 01, 02, 03, etc. The auditor will transfer this number to the Corrective Action Form to allow traceability to the audit checklist. For example: Smith Manufacturing 06-01-ACS identifies the first non-conformance (01) in the audit report of Smith Manufacturing for the year 2006 and the non-conformance is identified by the auditor whose initials are ACS. The manufacturer shall conduct an investigation to determine the root cause of each identified non-conformance. Manufacturers will report corrective actions using the Corrective Action Form. The auditor will confirm the effectiveness of corrective actions implemented by the Manufacturer. This action constitutes closure. The Quality Assurance Officer will document closure of each corrective action on the Non-conformance Report per Section 11.6.7 of this document.

11.6.4.3 USING THE AUDIT OBSERVATIONS REPORT

The auditor may prepare an Audit Observations Report on a separate sheet to document concerns that may be potential non-conformances, and/or to identify opportunities for continuous improvement of the company's quality system.

11.6.5 AUDIT REPORT

11.6.5.1 DRAFT REPORT

The auditor may prepare a handwritten draft audit report, if time permits, and the contents reviewed by the Quality Assurance Officer. The auditor may prepare the draft

report similarly to the final report or the draft report may simply provide the audit number, the auditor(s), audit date(s), and list the non-conformances, if any. The auditor and the Quality Assurance Officer will sign the draft report to indicate agreement with its contents. The auditor will leave a copy with the Quality Assurance Officer. If time does not permit the preparation of a draft audit report, the auditor will present the audit results verbally to the Quality Assurance Officer.

11.6.5.2 FINAL REPORT

The auditor will prepare the final audit report within seven days from the date of the audit. The auditor may use the non-conformance identifiers in a format corresponding to that of the audit criteria in place of the Corrective Action Form. The auditor will attach the Corrective Action Form (s) and the Audit Observations Report, if any, to the audit report. The auditor will provide a copy of the report to the Client, Quality Assurance Officer and to any other individuals on the authorized distribution list. The Client is required to submit formal responses to audit findings to the auditor within seven days after receiving the audit report. The Client is not required to submit formal responses to audit observations.

11.6.6 AUDIT FOLLOW UP

The Client shall review the non-conformances and implement corrective actions and transmit a response to the auditor for review.

11.6.7 AUDIT CLOSURE

After reviewing the Client's response, the auditor will note closure by completing the bottom of Corrective Action Form. If the review indicates that the Client needs to implement further corrective action before closure, the auditor will notify the Client.

11.6.8 DISTRIBUTION AND COMMUNICATIONS

The auditor will provide the Client and the Quality Assurance Officer with a copy of each audit report.

11.7.0 TECHNICAL AIDS

QF036 In-Plant Audit Form
QF045 Manufacturer's Audit Checklist Form
QF037 Equipment Evaluation Form
QF046 Audit Narrative Page
QF047 Authorized Representative Inspection Report
QF048 Site Visit Inspection Report
QF050 Corrective Action Form

11.8.0 EXPLANATORY NOTE

N/A

Gulf Coast Testing, LLC
5261 Highland Road #347
Baton Rouge, Louisiana 70808
(225) 281-3792 ● william.daniel@gctla.com

Manufacturer's Audit Checklist Form

Company Name_____ Date_____

Model (s) Certified:

_____

Type: ☐ Initial Audit ☐ Annual Compliance Audit ☐ Follow Up Audit ☐ Regulatory Audit

Audit Number: _____ (Year-Audit Number)

Audit Materials and Equipment: Drawings, Installation and Service Manuals, SPE Report

Auditee Identification: _____

Appropriate Personnel: ☐ Yes ☐ No

Management Changes Since Last Audit: ☐ Yes ☐ No
If Yes, Assess Changes on Narrative Sheet

Audit Criteria: NSF/ANSI Standard _____, GCT Quality Manual, GCT Quality Procedures

Auditee Has Copies Available on Site ☐ Yes ☐ No

Previous (Open) Non-Conformance(s): ☐ Yes ☐ No

If Yes – Review Corrective Action Form for previous Non-Compliance(s)

Review GCT Quality Manual

☐ Section 4.0 ☐ Section 5.0 ☐ Section 6.0 ☐ Section 7.0 ☐ Section 8.0

Review GCT Quality Procedures

☐ QP03 ☐ QP04 ☐ QP05 ☐ QP06 ☐ QP07 ☐ QP08 ☐ QP10 ☐ QP11

☐ QP12 ☐ QP15 ☐ QP17 ☐ QP19 ☐ QP38 ☐ QP39

NSF/ANSI Standard _____ Reviewed: ☐ Yes ☐ No

Initial Version of Accreditation _____ Current Version _____

Complaint Log Reviewed Complaint Log: ☐ Yes ☐ No

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Equipment Evaluation Form: Reviewed and Attached **(**Discuss with Manufacturer relevant sections of Approved Standard)	☐ Yes ☐ No
Significant Changes in Construction of System Since Previous Audit If Yes, Attach Narrative Page	☐ Yes ☐ No
Additional Models Authorized If Yes, Attach Narrative Page	☐ Yes ☐ No
Mark Properly Affixed	
Manufacturers Name and Address	☐ Yes ☐ No
Model Number	☐ Yes ☐ No
Serial Number	☐ Yes ☐ No
Rated Daily Hydraulic Capacity	☐ Yes ☐ No
System Classification	☐ Yes ☐ No
Advertising Literature	☐ Yes ☐ No
Owner's Manual	
System's Model Designation	☐ Yes ☐ No
System Classification	☐ Yes ☐ No
Functional Description of the System Operation	☐ Yes ☐ No
Diagram Included Showing System Design and Flow Path	☐ Yes ☐ No
Types of Waste Treated	☐ Yes ☐ No
Household Substances Warning	☐ Yes ☐ No
Comprehensive Operating Instructions and Maintenance Responsibilities	☐ Yes ☐ No
Service-Related Obligations of Manufacturer	☐ Yes ☐ No
Requirements for Periodic Removal	☐ Yes ☐ No
Actions for Intermittent or Extended Periods of Non-Use	☐ Yes ☐ No
Detailed Instructions for Identifying System Malfunction	☐ Yes ☐ No
Use of the Data Plate by the Owner for Reference	☐ Yes ☐ No
Name and Telephone Number of Appropriate Service Representative	☐ Yes ☐ No
Description of Initial and Extended Service Policies	☐ Yes ☐ No
	☐ Yes ☐ No
Installation Manual	
Numbered List of System Components	☐ Yes ☐ No
Design, Construction, and Material Specifications	☐ Yes ☐ No
Wiring Schematic for Electrical System	☐ Yes ☐ No
Off-Loading and Un-Packing Instructions	☐ Yes ☐ No
Process Overview of the Function of Each Component	☐ Yes ☐ No
Expected Function of Entire System	☐ Yes ☐ No
Clear Definition of System Installation Requirements	☐ Yes ☐ No
Sequential Installation Procedure Form	☐ Yes ☐ No
Repair or Replacement Instructions	☐ Yes ☐ No
List of Sources for Replacement Components	☐ Yes ☐ No
Detailed Start Up Procedure	☐ Yes ☐ No
	☐ Yes ☐ No
Training Manual Reviewed and Appropriate	☐ Yes ☐ No
Training Certifications Reviewed and Appropriate	☐ Yes ☐ No
Manufacturer's Audits of Authorized Representatives Reviewed	☐ Yes ☐ No

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Official Listing Correct	☐ Yes ☐ No
Warranty Provided Initial Warranty (Attach Copy) Extended Warranty (Attach Copy)	 ☐ Yes ☐ No ☐ Yes ☐ No

Close Meeting

Audit Results Reviewed ☐ Yes ☐ No
Nonconformance Complete and Attached ☐ Yes ☐ No
Manufacturer Sent all Documents ☐ Yes ☐ No

Inspector's Name _____ Inspector's Signature _____

Manufacturer's Name _____ Manufacturer's Signature _____

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Equipment Evaluation Form

SPE_____ (If Applicable)

Company Name: _____ Date: _____

Model Evaluated: _____ ☐ Listed ☐ New

Model Description: _____ NSF/ANSI Standard _____

Other Models in Series: _____

INSTRUCTIONS: Evaluate for each of the following requirements. (A=acceptable; X=not acceptable (see narrative); N=not applicable) Key: Standards (40, 245, 350); PM = GCT's Policy Manual; QP = GCT's Quality Procedures;

		GENERAL (GULF COAST TESTING POLICIES)
___	1	Model (QP03, QP04, QP06, QP07)
___	2	GCT® Mark (QP15, PM 4.4, 4.7, 4.9, 9.1, 9.2)
___	3	Literature (PM20)
___	4	Records on File (QP11, PM7, PM21)
___	5	Reevaluation/Periodic Monitoring (QP11, PM5, PM17)
___	6	General Format of Official Listing (PM16)
___	7	Verified Corrective Action (QP10, PM11)
___	8	Authorized Representatives (PM17, PM22)
___	9	Additional Models (QP05)
___	10	Distribution of Test Data (QP41)
		MATERIALS
___	11	Interior Surfaces (Standards 4.1)
___	12	Exterior Surfaces (Standards 4.2)
___	13	Welding (Standards 4.3)
___	14	Dissimilar Metals (Standards 4.4)
		DESIGN AND CONSTRUCTION
___	15	Exposed Surfaces (Standards 5.1)
___	16	Structural Integrity (Standards 5.2)
___	17	Water Tightness (Standards 5.3)
___	18	Noise (Standards 5.4)
___	19	Mechanical Components (NSF 5.5)
___	20	Electrical Components (NSF 5.6)
___	21	Access Ports (NSF 5.7)
___	22	Failure Sensing and Signaling Equip (Standards 5.8)
___	23	Flow Design (NSF 5.9)
___	24	Data Plate & Service Label (Standards 5.10)
___	25	Alternate Air Delivery Components (Standards 5.11)

		MANUALS
___	26	Owner's Manual (Standards 6.1)
___	27	Instruction Manual (Standards 6.2.1)
___	28	Operation and Maintenance Manual (Standards 6.2.2)
___	29	Troubleshooting and Repair Manual (Standards 6.2.3)
___	30	Other Documentation (Standards 7.0)
		SCALING AND ALTERNATE SYSTEMS
___	31	Design Review (Standard 40, Annex 1)
___	32	Tanks (Standard 40, Annex 1)
___	33	Structural Integrity (Standard 40, Annex 1)
___	34	Air Delivery (Standard 40, Annex 1)
___	35	Media (Standard 40, Annex 1)
___	36	Other (Standard 40, Annex 1)
		OPERATION AND MAINTENANCE
___	37	Limited Warranty (NSF Annex A.1)
___	38	Initial Service Policy (NSF Annex A.2.1)
___	39	Six-month service calls (NSF Annex A.2.1.1)
___	40	Notification (NSF Annex A.2.1.3)
___	41	Extended Service Policy (NSF Annex A.2.2)
___	42	Standby Parts (NSF Annex A.2.3)
___	43	Availability of Services (NSF Annex A.2.4)
		INSPECTION
___	44	Repeated items from last evaluation:

Gulf Coast Testing's contract and policy prohibit the use of the Gulf Coast Testing® mark on products not in full compliance with the applicable standard and policies. Completion of this report does not constitute acceptance for Certification/Listing.

Inspector: _____ Signature: _____

Manufacturer: _____ Signature: _____

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In-Plant Audit Form

SPE_____ (If Applicable)

Company Name:_____ ☐ Listed Company ☐ New Company

Manufacturer Name:_____

Facility Address:_____

Facility City, State/Country:_____

Plant Manager (name/title):_____

Person Contacted (name/title):_____

Visit Type: ☐ Initial Audit ☐ Annual Compliance Audit ☐ Follow Up Audit ☐ Agency Audit

PRODUCT TYPE	STD	MODEL NUMBER	LISTED/ NEW	SERIES NAME

Training and Certification Acceptable ☐ Yes ☐ No ☐ NA
Procurement Procedures Acceptable ☐ Yes ☐ No ☐ NA
Manufactured According to Company Quality Standards ☐ Yes ☐ No ☐ NA
Fabrication/Assembly Activities Acceptable ☐ Yes ☐ No ☐ NA
Environmental Conditions Acceptable ☐ Yes ☐ No ☐ NA
Records Up to Date ☐ Yes ☐ No ☐ NA
Documentation Manuals ☐ Yes ☐ No ☐ NA

This report confirms the evaluation/audit on _____/_____/_____ to determine compliance with NSF/ANSI Standard(s) and all related requirements. For any non-compliance, you are requested to submit on or before _____/_____/_____ a written explanation of planned and/or actual corrective action or a statement of disagreement with reasons. **Gulf Coast Testing's contract and policy prohibits the use of the Gulf Coast Testing® mark on products not in full compliance with the applicable standard and policies.** Completion of this report does not constitute acceptance for Certification/Listing.

_____ _____
Inspector's Name Inspector's Signature

_____ _____
Manufacturer's Name Manufacturer's Signature

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Authorized Representative Inspection Report

Certified Company Name:_____ Date:_____

Distributor Name:_____ Telephone #: _____

Distributor Address: _____

Contact Name:_____ Title:_____

Model Number(s) inspected during visit:_____ NSF/ANSI Standard: _____

	YES	NO
Knowledge of Gulf Coast Testing's Requirements:		
1. Was the authorized representative trained by the Certified Company concerning proper fabrication, installation, service, maintenance, and recordkeeping?		
2. Does authorized representative have complete set of operation, maintenance and installation instructions on file for each model?		
Conformance to Documentation of Listed Plant:		
3. Are the dimensions of the plant(s) identical to those published in the Standard Performance Evaluation?		
4. Are the plant(s) fiberglass, poly, or concrete? (Circle one)		
5. Are the components identical to those Evaluated and Listed (i.e., aerators, alarms, pumps, filters, diffusers, PVC sizes, etc.?)		
6. Has the authorized representative made any modifications to the design and/or construction of the listed plant(s)?		
7. Does the plant exhibit a smooth interior finish?		
8. Does the plant bear the Gulf Coast Testing® Mark?		
9. Data Plates		
1. Name of Listed Manufacturer	___	___
2. Model number	___	___
3. Serial number	___	___
4. Rated capacity of plant	___	___
5. Designated class rating	___	___
10. Is a complete set of instructions, initiation of service, operation, and maintenance available to be provided to the user?		
Verification of Service:		
11. Is a continuous service policy available to each owner? (Attach copy)		
12. Is the authorized representative's service label, including name, address, and phone number, attached to the control box?		
13. Are six month service calls being conducted and recorded?		
14. Are records of installations and service properly recorded?		
a. Are details of the service provided recorded?	___	___
b. Are emergency calls recorded?	___	___
15. Are component parts (i.e., aerators, filter, etc.) available should a plant's components need repair?		
Advertising:		
16. Does the authorized representative distribute any literature concerning the plant(s) other than the Listed Company's literature? (If so, attach a copy)		
17. Does the authorized representative advertise listed plants locally or in the phone book and reference Gulf Coast Testing? (If yes, attach copy of advertisement)		

This report will confirm the audit of your authorized representatives on _____/_____/_____ to determine compliance with NSF/ANSI Standard _____ and GULF COAST TESTING policies. For any non-compliance, you are requested to submit on or before _____/_____/_____ a written explanation of planned and/or actual corrective action or a statement of disagreement with reasons. **Gulf Coast Testing's contract and policy prohibit the use of the Gulf Coast Testing® mark on products not in full compliance with the applicable Standard and policies.** (Report shall be submitted to the Certified Company)

_____ _____
Inspector's Name Inspector's Signature

_____ _____
Authorized Representative's Name Authorized Representative's Signature

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Site Visit Inspection Report

Certified Company's Name _____

Model Number of Plant in Service _____

Serial Number on Aerator _____

1. Name and address of owner: _____

_____

_____

Number of persons serviced by plant: _____

Installation date: _____

Name of installer if other than distributor: _____

Date and purpose of last service call: _____

_____

_____

	YES	NO
2. Is the record of installation and maintenance on this installation up to date and adequate?		
3. Service available within two working days?		
4. Are all component parts properly installed and operating?		
5. Are all data plates properly attached to: a. the control panel? b. the tank, riser, or aeration equipment?		
6. Have any modifications been made to the plant?		
7. Do components match listing documents?		
8. Are all access covers secure? By what method? _____		
9. Does the effluent appear turbid or foamy?		
10. Was user's manual available at the site? If no, why not? _____		
11. Was the local regulatory official present during this inspection? Agency _____ If yes, regulatory official's Name: _____ Address: _____ _____		
12. Comments regarding installation deficiency submitted on narrative page.		

This report will confirm the audit of your distributorship on ____/____/____ to determine compliance with NSF/ANSI Standard _____ and GCT policies. For any non-compliance, you are requested to submit on or before ____/____/____ a written explanation of planned and/or actual corrective action or a statement of disagreement with reasons. **Gulf Coast Testing's contract prohibits the use of the Gulf Coast Testing® Mark on products not in full compliance with the applicable Standard and policies.**

_____ _____

Inspector's Name Inspector's Signature

_____ _____

Manufacturer's Representative Name Manufacturer's Representative Signature

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Audit Narrative Page

Audit Date: _____ **Audit Number:** _____

Model Number/Trade Designation, Standard, and applicable Standard or policy section shall be referenced along with cited deficiency.

Inspector's Name

Inspector's Signature

Manufacturer's Representative Name

Manufacturer's Representative Signature

12.0 COMPLAINTS, DISPUTES, AND APPEALS

12.1.0 PURPOSE

The purpose of this section is to describe the process of handling complaints, disputes, and appeals within/outside of the Client or GCT.

12.2.0 POLICY

All Quality Procedures are written to comply with GCT policy established in the Quality Manual section with which this section corresponds and ISO/IEC 17065.

12.3.0 APPLICATION

This section is performed by the Program Manager.

12.4.0 DEFINITIONS

N/A

12.5.0 REFERENCES

Standards
GCT Certification Policies for Wastewater Treatment Devices

12.6.0 PROCEDURES

12.6.1 DOCUMENTATION OF COMPLAINTS

12.6.1.1 COMPLAINTS ABOUT GCT ACTIVITIES

GCT will require the Client/client to file the request to the Program Manager in writing using the Complaint Documentation Form. The complainant shall include the following information with the complaint:

1. Name of individual filing the complaint
2. Name of the company filing the complaint
3. Date of the complaint
4. Description of the complaint
5. Documented identification of the complaint

The Program Manager shall inform the Quality Assurance Officer of the complaint and include the complaint information and documentation. The Quality Assurance Officer shall identify each complaint with a complaint number as follows: Gulf Coast Testing, LLC C01-2023. This will mean the first complaint against Gulf Coast Testing, LLC in 2023. This complaint number will also identify the Complaint Report. The Quality Assurance Officer shall record the complaint in the relevant project folder on the server.

12.6.1.2 COMPLAINTS BETWEEN CLIENTS

GCT shall document all complaints, formal or informal, received by Clients, distributors, or other parties and the manufacturer. A formal complaint is complaint referred to GCT in writing using the Complaint Documentation Form. Informal complaints are complaints that are not filed with GCT in writing. A formal complaint shall contain, at a minimum, the following information:

1. Name of the individual filing the complaint
2. Address of individual filing the complaint
3. Telephone number of the individual filing the complaint
4. Manufacturer and model
5. Nature of the complaint

The Program Manager shall inform the Quality Assurance Officer of the complaint and include the complaint information and documentation. The Quality Assurance Officer shall identify each complaint with a complaint number as follows: Company Name C01-2023. This will mean the first complaint against Company Name in 2023. This complaint number will also identify the Complaint Report. The Quality Assurance Officer shall record the complaint in the relevant project folder on the server. The Quality Assurance Officer shall refer complaints regarding issues under the control of the manufacturer concerning a certified individual wastewater treatment plant unit to the manufacturer for handling under the complaint process of the manufacturer.

12.6.2 COMPLAINT RESOLUTION

12.6.2.1 COMPLAINTS ABOUT GCT ACTIVITIES

The Quality Assurance Officer shall review the complaint to determine the validity of the complaint. If the Quality Assurance Officer determines the complaint to be valid, he/she shall inform the Program Manager that an investigation is underway. The Quality Assurance Officer will interview the staff, review documents, and observe practices to obtain information related to the complaint. The Quality Assurance Officer shall record all the information collected. The Quality Assurance Officer shall identify all non-conformances associated with the complaint and conduct an investigation to determine the root cause of the non-conformance. All non-conformances shall be recorded on the Corrective Action Form using the complaint number to allow traceability. The Quality Assurance Officer shall require the GCT employee responsible for the non-conformance to implement corrective action. The Quality Assurance Officer will confirm the effectiveness of corrective actions implemented by the employee and sign the document. The Quality Assurance Officer shall than present the corrective action to the Program Manager. If the Program Manager agrees with the corrective action, he shall sign the document. This action constitutes closure. The Quality Assurance Officer shall document closure of each corrective action in the Complaint Report.

12.6.2.2 COMPLAINTS BETWEEN CLIENTS

12.6.2.2.1 FORMAL COMPLAINTS

The Quality Assurance Officer shall review the complaint to determine the validity of the complaint. The Quality Assurance Officer's review may include a site visit to the plant, a

field inspection, or any other reasonable inspection needed to determine the validity of the complaint. The Quality Assurance Officer may, at his/her discretion, designate a qualified GCT employee to undertake the review. If the Quality Assurance Officer determines the complaint to be valid, he/she shall inform the Program Manager that an investigation is underway. The Quality Assurance Officer will interview the Client, review documents, and observe practices to obtain information related to the complaint. The Quality Assurance Officer shall record all the information collected. The Quality Assurance Officer shall identify all non-conformances associated with the complaint and conduct an investigation to determine the root cause of the non-conformance. All non-conformances shall be recorded on the Corrective Action Form using the complaint number to allow traceability. The Quality Assurance Officer shall require the Client to implement corrective action. The Quality Assurance Officer will confirm the effectiveness of corrective actions implemented by the Client and sign the document. This action constitutes closure. The Quality Assurance Officer shall document closure of each corrective action in the Complaint Report.

12.6.2.2.2 INFORMAL COMPLAINTS

The Quality Assurance Officer shall investigate informal complaints as she/he deems appropriate. The Quality Assurance Officer may, at his/her discretion, investigate the complaint as a formal complaint utilizing the procedure in Section 12.6.2.2.1 of this document.

12.6.3 COMPLAINT REPORT

12.6.3.1 COMPLAINTS ABOUT GCT ACTIVITIES

The Quality Assurance Officer shall prepare the Complaint Report within seven days from the date of the complaint. The Quality Assurance Officer shall attach all documentation including but not limited to the initial complaint and the Corrective Action Form. The Quality Assurance Officer shall provide a copy of the report to the Program Manager. The Program Manager will transmit a copy of the report to the client.

12.6.2.2 COMPLAINTS BETWEEN CLIENTS

The Quality Assurance Officer shall prepare the Complaint Report within seven days from the date of closure of the non-compliance. The Quality Assurance Officer shall attach all documentation including but not limited to the initial complaint and the Corrective Action Form. The Quality Assurance Officer shall provide a copy of the report to the Program Manager. The Program Manager will transmit a copy of the report to the complainant.

12.6.2 APPEAL OF THE COMPLAINT REPORT

12.6.2.1 COMPLAINTS ABOUT GCT ACTIVITIES

If the Client is not satisfied with resolution in the Complaint Report, then the client may seek resolution through arbitration.

12.6.2.2 COMPLAINTS BETWEEN CLIENTS

The Quality Assurance Officer shall prepare the Complaint Report within seven days from the date of closure of the non-compliance. The Quality Assurance Officer shall attach all documentation including but not limited to the initial complaint and the Corrective Action Form. The Quality Assurance Officer shall provide a copy of the report to the Program Manager. The Program Manager will transmit a copy of the report to the complainant within ten days of receiving the Complaint Report. The Program Manager will include with the report an explanation of the appeal process.

In the event the complainant is not satisfied with the resolution, the complainant has the right to appeal. GCT's policy for appeals has two levels, with the complainant having the option to be present or represented at the final level.

The initial communication is processed and investigated as a complaint per Section 12.6.2 of this document. If the complainant is not satisfied with the resolution, the complainant must register a written dispute within 60 business days after receiving GCT's resolution. The Program Manager will notify the complainant in writing within 10 business days of receipt of the appeal and begin an administrative review to investigate the dispute. Within 45 business days of receiving the letter, GCT will forward the complainant a written notice of its decision.

If the complainant is not satisfied with the decision in GCT's written notice, the complainant may proceed to the final level of the appeal process. Second-level appeals must be submitted in writing within 60 business days after receiving the first-level appeal decision. An Appeals Committee comprised of three members not involved in the previous review of the appeal will be formed and will schedule the committee review within 45 days of receipt of the second-level appeal. The Program Manager has complete discretion to appoint three qualified members to the committee. The complainant may be present at the meeting by appearing in person, by conference call or by sending a representative. The Appeals Committee is the final level of the appeal process. The committee will mail its decision to the complainant within 10 business days of meeting.

12.7.0 TECHNICAL AIDS

QF049 Complaint Documentation Form

12.8.0 EXPLANATORY NOTE

N/A

Gulf Coast Testing, LLC
17170 Perkins Road
Baton Rouge, Louisiana 70810
(225) 612-1987 ● Fax (225) 612-19880

Complaint Documentation Form

Name: _____

Address: _____

Address: _____

City: _____ State: _____ Zip: _____

Telephone: (__) _____ Fax: (___) _____

Email: _____

Manufacturer and Model: _____

Nature of Complaint: _____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

Complaint Number: ___ _____ (To Be Assigned by Quality Assurance Officer)

13.0 RECRUITMENT AND MONITORING OF PERSONNEL

13.1.0 PURPOSE

The purpose of this section is to describe the processes of recruitment and monitoring of personnel.

13.2.0 POLICY

All Quality Procedures are written to comply with Gulf Coast Testing policy established in the Quality Manual section and conformity to ISO/IEC 17065.

13.3.0 APPLICATION

This section is performed by the Program Manager.

13.4.0 DEFINITIONS

N/A

13.5.0 REFERENCES

N/A

13.6.0 PROCEDURES

GCT shall have sufficient personnel having the education, knowledge and experience for performing certification functions relating to the type, range and volume of work performed. This includes technical personnel competent for the development of product specific criteria including but not limited to testing, sampling, inspection, management quality system evaluation, explanatory documents, and certification. GCT has a Job Description and Qualification Form for each position. GCT maintains an Organizational Chart showing the employees working in each position. Also, GCT keeps Management Resume Forms on each of its managers.

The Program Manager will place primary importance upon recruitment, selection, training, and monitoring of personnel.

13.6.1 RECRUITMENT OF EMPLOYEES

When recruiting employees, GCT shall:

1. Advertise for employees in media that are appropriate to the industry.
2. Offer salaries that are in line with the industry norms.
3. Offer benefits that are in line with the industry norms

13.6.2 SELECTION OF EMPLOYEES

GCT shall:

1. Select personnel that demonstrate those skills and demeanor that may be relevant to the position.
2. Select employees that reflect the image of GCT
3. Select employees with previous experience in the industry
4. Select employees with proven competency in the skills required
5. Select employees with the ability to work independently and be a part of the team
6. Select employees with the ability to work with the client in a pleasant manner

13.6.3 MONITORING OF EMPLOYEES

13.6.3.1 PERSONNEL FILES

Personnel employed by GCT shall have qualifications for their positions. Such qualifications shall be consistent with the duties of the positions as described in the Quality Manual. Information on the qualifications and subsequent training of all personnel shall be kept in personnel files. Such files shall also show:

1. Name and address
2. Position held
3. Educational qualification and professional status
4. Experience and training
5. Confidentiality and Disclosure Agreement Form
6. Annual Employee Performance Evaluation

13.6.3.2 CONFIDENTIALITY AND INDEPENDENCE

In order to ensure confidentiality and independence, GCT shall:

1. Require all personnel sign the Confidentiality and Disclosure Agreement Form
2. Require all employees attest to their prior associations as per the Confidentiality and Disclosure Agreement
3. Require all employees attest to their understanding of their obligations and commit to GCT they are free from commercial and/or other financial interests

13.6.3.3 PERIODIC EVALUATIONS

During the fourth quarter of the year, the Program Manager shall perform periodic evaluations of all employees but particularly the employees involved in the certification process. The evaluation shall be done using the using the Annual Employee Performance Evaluation Form. If the Program Manager is involved in the certification process, the Deputy Program Manager shall perform an evaluation of the Program Manager regarding his certification activities.

Employees will be notified of the impending evaluations and shall be required to participate in their own performance review.

The Program Manager will determine if the opportunity exists to cross-train employees so that positions can be covered in emergency situations.

13.7.0 TECHNICAL AIDS

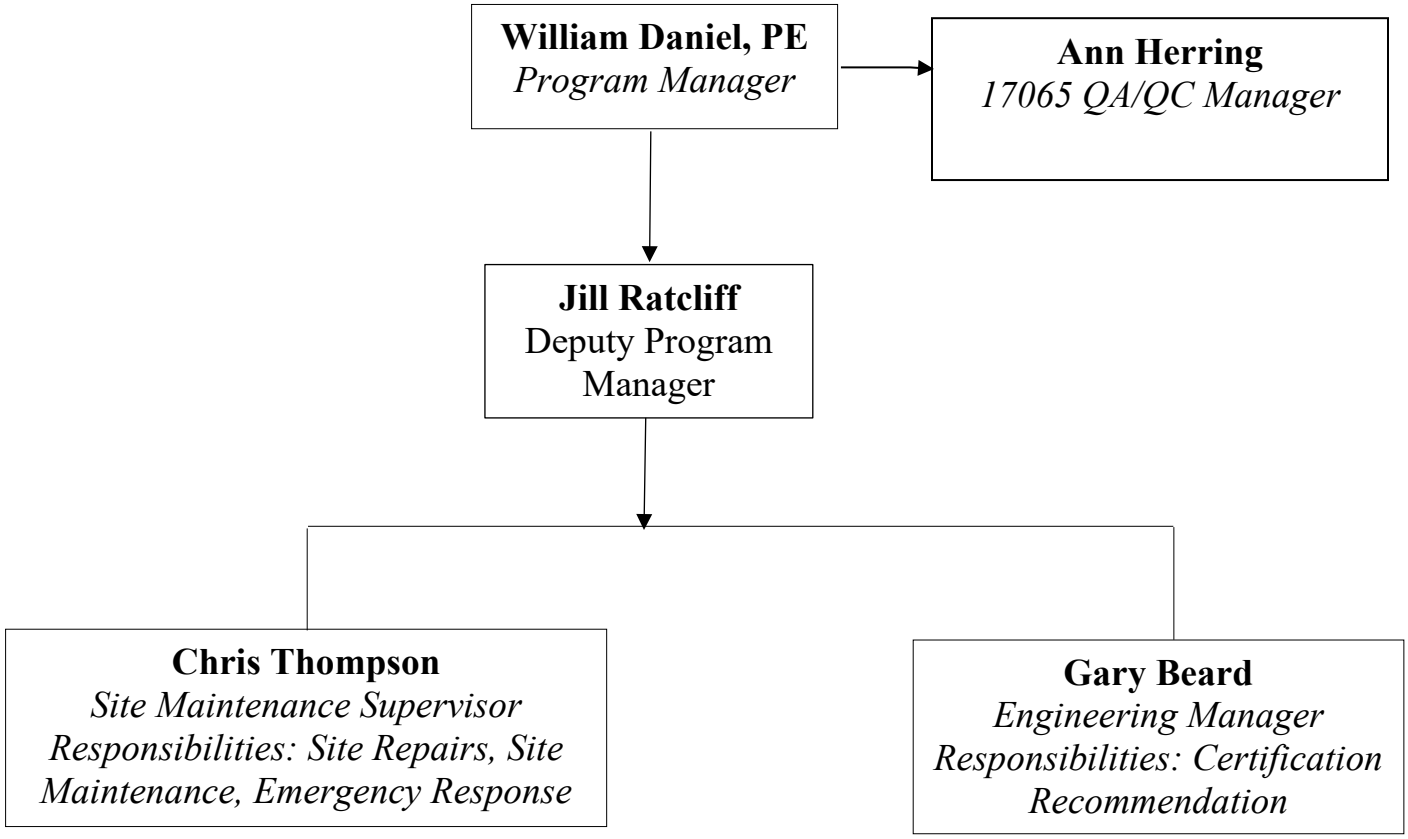
QF002 Organizational Chart Form
QF003 Job Description and Qualification Form
QF006 Annual Employee Performance Evaluation Form

13.8.0 EXPLANATORY NOTE

N/A

GCT GULF COAST TESTING, LLC

GCT, LLC
Organizational Chart



GULF COAST TESTING, LLC

Program Manager

Job Description:

Responsible for:

1. All aspects of GCT's Quality Management System.

2. All aspects of GCT's operations including but not limited to:
    a. Decisions on certification including new products and the approval/denial of request for engineering services such as evaluation of alternative materials, components and scale-up of certified wastewater treatment systems.
    b. Sub-contractor selection.
    c. Submittal of clients' requests to subcontractor.
    d. Supervision of the implementation of the program's policies through management reviews.
    e. Resolution of complaints.
    f. Planning and coordination of evaluations and task activities on a project basis and serving as project manager on each; responsible for client interface, budget/schedule tracking, and invoicing.
    g. Formulation of policy matters relating to the operation of the certification body including the updating of the ANSI Certification Program Manual. Responsible for monitoring for ANSI's periodic updates to the requirements for accreditation and incorporating these requirements into the Program Manual.

3. Supervision of the finances.

4. Activities of all employees.

Minimum Job Qualifications:
Engineering Degree and/or Master's Degree in Business Administration
5 years working experience in certification and accreditation
10 years sewer engineering experience
10 years management experience

Desired Job Qualification
Professional Engineering License

GULF COAST TESTING, LLC

QA/QC Officer

Job Description:

Responsible for:

1. Implements Quality Assurance Programs
2. Maintenance of Confidential files.
3. Distribution of the ANSI Certification Program Manual.
4. Administration of the annual audits.
5. Appoint lead auditor for annual internal audit
.
6. Submit a report of the findings from the audit.
7. Verify that corrective actions are implemented.
8. Respond to audits with Program Manager

Minimum Qualifications:

Bachelor of Science in Management, Environmental Management, Environmental Science, or any science related field
10 years working experience in Environmental Management

Desired Job Qualification
Experience in certification and accreditation

GULF COAST TESTING, LLC

Engineering Manager

Job Description:

Responsible for:

1. Performing engineering work in regard to the design and operation of certified treatment systems.

2. Investigating and inspecting through site visits the quality of the operations and activities carried out by the Laboratory and Field Technical Manager to ensure compliance with approved codes of practice and standards.

3. Keeping abreast with the latest requirements of NSF/ANSI standards used by GCT.

Minimum Qualifications:

Bachelor's degree in Engineering
10 years working experience in design and maintenance of wastewater treatment systems

Desired Job Qualification
Professional Engineering License

GULF COAST TESTING, LLC

Deputy Manager

Job Description:

Responsible for:

1. The Deputy Program Manager is responsible for the day-to-day management of the certification Program.

2. The Deputy Program Manager is responsible for ensuring sample collection and pick-up are done pursuant to the testing requirements.

3. The Deputy Program Manager is responsible for recording the analyzed test data and transmitting data to the clients.

4. The Deputy Program Manager shall assume the responsibility of the Program Manager in the event he is unable to perform his duties.

5. Supervises all testing and ensures proper procedures are followed.

6. Maintains a variety of records and reports in manual and computerized format relative to lab results, calibration results, entry/exit logs, repairs, etc.

Minimum Qualifications:

Bachelor of Science in Management, Environmental Management, Environmental Science, or any science or education related field
Knowledge of Testing Standards, certification, and accreditation

Desired Job Qualifications
Knowledge of basic chemistry
Sampling Experience

GULF COAST TESTING, LLC

Site Maintenance Supervisor

Job Description:

Responsible for:

1. Maintains, repairs, and replaces machinery and equipment such as electric valves, pumps, plumbing systems, and electrical boxes
2. Uses Hand-tools, electrical tools, power tools, precision-measuring and testing instruments
3. Works from diagrams, sketches, operating manuals, and manufacturer's specifications
4. Installs, repairs, or replaces functional parts and components
5. Initiates requests for materials
6. Perform other duties as needed and required

Minimum Qualifications:

1. High School Diploma or GED required along with a minimum of four years of vocational training or experience as a maintenance technician.
2. Demonstrated ability to communicate and apply craft techniques, processes and principles; ability to use independent decision-making judgment concerning maintenance and repairs.

Desired Job Qualifications
Working with plumbing equipment and fittings
Exposure to control panels and electrical systems
Ability to operate heavy machinery

GULF COAST TESTING, LLC Annual Employee Performance Evaluation

Employee Name _____ Job Title _____

Date Hired _____ Evaluation Date: _____

SECTION I. Employee Responsibilities

SECTION II. Evaluation

Rating	Rating Description
1	**UNACCEPTABLE – Consistently fails to meet job duties and expectations; performs at a level demonstrably below corporate requirements; improvement required immediately to maintain employment.**
2	**MEETS EXPECTATIONS – Performs job duties at a satisfactory level according to job description under normal supervision and direction.**
3	**EXCEEDS EXPECTATIONS – Often exceeds job requirements; consistently meets goals and objectives; accomplishments occasionally made in areas outside normal job role.**

	Communication Skills	Does the employee communicate clearly and effectively within the role? Does the employee clearly express themself both orally and in writing? Does the employee listen well and respond appropriately? Are written and verbal reports clear and accurate?
	Reliability	Does the employee follow through on commitments and job duties consistently? Does the employee accept accountability for his or her work? Does the employee properly follow instructions, directives, and procedures?
	Abilities, Knowledge, and Skills	Does the employee exhibit the knowledge and skills required to fulfill job duties, as well as the techniques and tools used to do so?
	Integrity	Does the employee have the ability to manage information confidentially; Does the employee know when to be discreet. Is the employee impartial in his or her work? Does the employee treat data ethically?
	Initiative	Does the employee actively seek out and assume additional responsibilities without being asked to do so? Does the employee demonstrate an ability to encourage and/or inspire others? Does the employee recognize and act upon new opportunities?
	Quality of Work	Does the employee complete his or her work with the expected degree of quality? Is the employee attentive to detail? Does the employee actively seek out and correct quality-control issues? Take into account accuracy of work, neatness, and adherence to standards.
	Organizational and Planning Abilities	How well does the employee plan and organize work duties? Does the employee coordinate well with other workers and departments? Does the employee establish priorities appropriately and anticipate future needs?

Program Manager Comments:

_____ / / _____

Employee Signature Date

_____ / / _____

Program Manager Date

14.0 DOCUMENT CONTROL AND RETENTION

14.1.0 PURPOSE

The purpose of this section is to describe the record and document control program and to ensure its continued efficiency through the internal audit process.

14.2.0 POLICY

All Quality Procedures are written to comply with GCT policy established in the Quality Manual section with which this section corresponds and ISO/IEC 17065, ISO/IEC 17025, and ISO/IEC 17020.

14.3.0 APPLICATION

This section is performed by the Program Manager.

14.4.0 DEFINITIONS

N/A

14.5.0 REFERENCES

Quality Manual
GCT Certification Policies for Wastewater Treatment Devices
ISO/IEC 17065 – Section 8.3 & Section 8.4

14.6.0 PROCEDURES

14.6.1 Document Control

The document control program shall have as its objective, the continued functionality, relevance, security, and economical operation of all documents used by GCT. The document control program shall have at a minimum a system in place to:

1. Track the progressive changes to documents to ensure that only current documents are in place.
2. Maintenance of security measures and back-up control so that documents can be replaced in case of fire or theft.
3. Periodic review to ensure functionality and relevance of all documents available in the current system.
4. Use electronic documents whenever possible and transition to replacing paper documents with electronic ones.
5. Availability of relevant documents to employees and customers of GCT.
6. Ensure the confidentiality of records
7. Correction of Mistakes in Records
8. Compliance with GCT's Quality Policy Manual, Quality Procedures, ISO/IEC 17065, ISO/IEC 17025, and ISO/IEC 17020
9. Security of Records
10. Compliance with all federal, state, and local laws

14.6.2 Correction of Mistakes

When mistakes occur in records, they shall be corrected as follows:

1. Bench Sheets – each mistake shall be crossed out with a single line, not erased, made illegible, or deleted, and the correct value entered alongside. All such alterations to records shall be signed or initialed by the person making the correction.
2. Electronic Data – electronic data are corrected pursuant to GCT's Data Management Procedure.

14.6.3 Responsibilities of the Program Manager

The Program Manager shall administer the Document Library in GCT's electronic document program. The Program Manager shall:

1. Institute a competent filing system by:

    a) Requiring only PDF versions of documents are published
    b) Date formats shall always be in the form 20XX.XX.XX
    c) Instituting a file naming system to identify documents that includes the type of document, the date of the document, and a brief description of the contents or purpose of the document. The format shall be as follows:

        DocumentType.Date.Document Name or Description

    d) If the document is associated with and SPE document, the SPE number shall be added to document as follows:

        SPEXXX.Document Type.Date.Document Name or Description

    e) Make relevant documents available to the employees through the GCT Website
    f) Archiving older versions of the same documents

2. Ensure, for all documents generated by GCT, a footer be placed on the document identifying the document to determine the most current version of the document.

    Header:

    GCT GULF COAST TESTING, LLC

    Document Description

    Footer:

    Published Date | page/total pages | Printed Documents May be Out of Date
    Replacement Date

3. All documents are stored on GCT's cloud service.

4. Arrange to have electronic versions of the documents available as required for the operations of GCT. Electronic copies of documents will be organized as per Table 1 in Technical Aids of this document.
5. Original laboratory report documents will be scanned and stored on GCT's cloud service.
6. The Quality Manager will ensure all documents created by the Program Manager have the correct footer by reviewing all the documents on a quarterly basis. The review shall be documented on the Document Table Checklist. The Quality Manager will also ensure any documents on the website are the correct version of the document and document the review in GCT Master File List.

   All GCT generated documents will have a Preface showing the following information.

GCT GULF COAST TESTING, LLC	**Gulf Coast Testing, LLC**	DOCUMENT CODE	**GCT-DOCXXX**
	Document	REVISION	**XX**
		EFFECTIVE DATE	**Date**
	PREFACE		

The Program Manager shall safeguard the physical integrity and confidentiality of the records of GCT:

1. Identify confidential records and differentiate them from records that are not confidential.
2. Arrange to store paper confidential records in secure areas and lockable file cabinets.
3. Arrange to have electronic versions of the records shielded from unauthorized users.

14.6.5 Document Retention of Certification Data

GCT retains documents to meet the requirements of:

a) ISO/IEC 17065 and ISO/IEC 17025
b) The Standards
c) Federal, State, and Local Agencies

If there are no requirements on the retention of a document, GCT will retain the document for a minimum of seven years.

14.6.5 Document Retention of Data Received from Laboratories

GCT retains records of original observations, derived data, and sufficient information to establish an audit trail, calibration records, staff records and a copy of each test report or calibration certificate issued for seven years. The records shall include the identity of personnel responsible for the sampling, performance of each test and/or calibration and checking of results.

Contract laboratories will retain records of original observations, derived data, and sufficient information to establish an audit trail, calibration records, staff records for three years. Test reports, calibration records, and calibration certificates will be retained for seven years.

14.6.6 Release of Confidential Information

In the event GCT is required to release confidential information, either by legal authority or contractual obligations, GCT shall notify the client the information prior to the information being released.

14.6.7 Electronic Signature Policy

An electronic signature is a generic, technology-neutral term for the various ways that an electronic record can be signed, including a digitized image of a signature, a name typed at the end of an e-mail message by the sender, a biometric identifier, a secret code or PIN, or a digital signature.

Electronic signature is used by GCT as a means of attestation of electronic documents, emails, and other computer-generated documents. Properly executed electronic signatures are considered legally binding to signify completeness as intended by the signer.

It is the policy of GCT to accept electronic signatures as defined within this policy for author validation of documentation, content accuracy and completeness with all the associated ethical, business, and legal implications.

14.6.8 Public records

GCT maintains the following documents on the website or available upon request:

a) information regarding GCT's certification process, including evaluation procedures, rules and procedures for granting, for maintaining, for extending or reducing the scope of, for suspending, for withdrawing or for refusing certification;
b) general information on the fees charged to applicants and to clients;
c) a description of the rights and duties of applicants and clients, including requirements, restrictions or limitations on the use of the certification body's name and certification mark and on the ways of referring to the certification granted;
d) information about procedures for handling complaints and appeals.

14.7.0 TECHNICAL AIDS

N/A

14.8.0 EXPLANATORY NOTE

Reserved

15.0 MARKING THE PRODUCT

15.1.0 PURPOSE

The purpose of this section is to describe the proper use GCT's Certification Mark.

15.2.0 POLICY

All Quality Procedures are written to comply with GCT policy established in the Quality Manual section with which this section corresponds and ISO/IEC 17065.

15.3.0 APPLICATION

This section is performed by the Program Manager.

15.4.0 DEFINITIONS

Accreditation Certificate - formal document or a set documents stating that accreditation has been granted for a defined scope

Accreditation Mark (Mark) - legally registered trademark applied by or issued under the procedures of the accreditation system issued by an accreditation body to be used by accredited CABs to indicate their direct conformity with a set of accreditation requirements

Scope of Accreditation - Specific conformity assessment services for which accreditation is sought or has been granted

15.5.0 REFERENCES

GCT Certification Trademark

15.6.0 PROCEDURES FOR USE OF GCT MARK

Certified systems should be designated with the registered GCT Certification Trademark. Only products that have been certified by GCT to be in full compliance with GCT's requirements and have been issued a Certification Certificate may be affixed with the GCT Mark. In addition, the Mark will only be placed on products with a trade designation or model designation shown in the Official Listing. The GCT Mark is pictured in Section 15.7.0 of this document. The following procedure shall be followed relative to use of GCT Certification Mark.

1. The GCT Accreditation Mark and reference to accreditation may only be used once accreditation has been granted.
2. The GCT Accreditation Mark shall be displayed only in the form designated by GCT in the Technical Aid section of this document.
3. The Mark shall be affixed to each product via a data plate and should be clearly visible. The Mark shall indicate the applicable Standard for which accreditation has been granted. If the Certified product does not bear the Mark, a statement will be included in the Official Listing to indicate how the product will be represented as Certified.

4. Permission to use the Mark will be authorized in writing by GCT using the Letter of Authority to Use the Certification Mark.
5. The Mark shall only be placed on Products at authorized production facility locations, unless otherwise authorized in writing by GCT.
6. When there is proof that a product is involved in misuse of The Mark as described by the Quality Manual, corrective actions must be carried out as defined by the Quality Manual. The misuser will be issued a written communication by certified mail using the Letter for Revocation of Use of the Certification Mark Due to Misuse.

15.7.0 TECHNICAL AIDS

QF053.Certification Certificate Form
QF043.Letter of Authority to Use Certification Mark Form
QF044.Letter for Revocation of Use of the Certification Mark Due to Misuse

GCT Mark

NSF/ANSI Standard ___

15.8.0 EXPLANATORY NOTE

N/A

GULF COAST TESTING, LLC

CERTIFICATION CERTIFICATE

Gulf Coast Testing LLC's Residential Aerobic Wastewater Testing Program personnel have performed a complete specific performance evaluation of the MANUFACTURER Model XXXXX XXX-hundred (XXX) gallon per day, Single Family Residence aerobic wastewater treatment system, manufactured by MANUFACTURER of CITY, STATE using the requirements and provisions of the NSF/ANSI Standard XX (20XX) and the Gulf Coast Testing Wastewater Certification Quality Procedures Manual. MANUFACTURER Model XXXXX aerobic wastewater treatment system has successfully completed all the requirements of the NSF/ANSI Standard XX (20XX) for Class 1 effluent.

The observations, data, analyses and results contained in this report are hereby certified to be correct.

All feeding and data collection was performed by Gulf Coast Testing, LLC at their wastewater test site in Ascension Parish located at 14378 Park Avenue, Prairieville, Louisiana. All laboratory testing was performed at Gulf Coast Testing LLC's laboratory also located at 14378 Park Avenue, Prairieville, LA.

MANUFACTURER and Gulf Coast Testing, LLC hereby agree to comply with the continual follow-up certification procedures as specified in the Gulf Coast Testing LLC's Wastewater Certification Manual. All data contained in this report is the property of Gulf Coast Testing, LLC and can only be released with the consent of Gulf Coast Testing, LLC.

This certification is effective as of MONTH DAY, 20XX and good for seven (7) years ending on MONTH DAY, 20XX.

_____ _____

Program Manager MONTH DAY, 20XX Quality Assurance Officer MONTH DAY, 20XX

GULF COAST TESTING, LLC

Date

Company Name
Address
City, State Zip Code

Ref: Use of Certified Mark® Effective Month/Day/Year through Month/Day/Year
For Individual Aerobic Wastewater Treatment Plant
Make/Model

Dear _____:

The is letter is being provided to Company Name to allow for the above-mentioned Treatment Plant to use the Gulf Coast Testing, LLC's Certification Mark® after successfully completing the required testing as established by the NSF/ANSI Standard (XXXX). The certification Mark® is to be used solely on the above referenced treatment plant. Any misuse of the Mark®, *i.e.,* on non-complying products or modified products prior to retesting will be sufficient cause for Gulf Coast Testing, LLC to demand the removal of the certification Mark® from all non-complying products.

Very Truly Yours,

Gulf Coast Testing, LLC

_____
Program Manager

GULF COAST TESTING, LLC

Date

Company Name
Address
City, State Zip Code

Ref: Revocation of Certified Mark® Effective Month/Day/Year
For Individual Aerobic Wastewater Treatment Plant
Make/Model

Dear _____:

Due to misuse of the Certification Mark® for the above referenced Individual Mechanical Wastewater Treatment Plant, use of the Mark® should be discontinued. Misuse of the Mark® has occurred due to the following circumstances:

1)
2)
3)
4)

Use of all literature and promotional information pertaining to the Mark® should cease immediately. Any questions pertaining to this issue should be addressed to me.

Very Truly Yours,

Gulf Coast Testing, LLC

_____
Program Director

16.0 LABORATORY TEST METHODS

16.1.0 PURPOSE

The purpose of this section is to ensure the laboratories used by Gulf Coast Testing, LLC comply with ISO/IEC 17065, ISO/IEC 17025, and the Standards.

16.2.0 POLICY

All Quality Procedures are written to comply with GCT policy established in the Quality Manual section with which this section corresponds.

16.3.0 APPLICATION

This section is performed by the Deputy Program Manager.

16.4.0 DEFINITIONS

N/A

16.5.0 REFERENCES

Standards
Standard Methods for the Examination of Water and Wastewater
Title 40 Part 136 of the Code of Federal Regulations

16.6.0 PROCEDURES

GCT outsources all laboratory analytical testing. GCT shall manage the outsourced resources in accordance with its evaluation plan. GCT shall:

1. Take responsibility for all activities outsourced.
2. Ensure all SOP's used by laboratories used for Standard testing shall comply with *Standard Methods for the Examination of Water and Wastewater* or to an EPA approved procedure listed in Title 40, Part 136 of the Code of Federal Regulations.

16.7.0 TECHNICAL AIDS

N/A

16.8.0 EXPLANATORY NOTE

N/A

17.0 OUTSOURCED LABORATORIES

17.1.0 PURPOSE

The purpose of this section is to ensure the laboratories used by Gulf Coast Testing, LLC are certified laboratories.

17.2.0 POLICY

All Quality Procedures are written to comply with GCT policy established in the Quality Manual section with which this section corresponds.

17.3.0 APPLICATION

This section is performed by the Deputy Program Manager.

17.4.0 DEFINITIONS

N/A

17.5.0 REFERENCES

ISO/IEC 17025

17.6.0 PROCEDURES

17.6.1 Contract Laboratory Verification

1. GCT shall have a contract with the laboratory similar to QF498.Laboratory Contract.
2. GCT shall monitor the qualifications and assessment of the outsourced laboratory.
3. GCT shall only use certified laboratories with accreditation for each test method used by the laboratory.
4. GCT shall ensure the laboratory is ISO/IEC 17025 certified. If the laboratory is not ISO/IEC 17025 certified, GCT shall audit the laboratory to ensure the laboratory is compliant with ISO/IEC 17025 using QF499 ISO/IEC 17025 Laboratory Audit Form.
5. GCT shall ensure all the reporting done by the laboratory shall include the following information:

    a) a title,
    b) the name and address of the laboratory,
    c) the location of performance of the laboratory activities,
    d) unique identification that all its components are recognized as a portion of a complete report and a clear identification of the end,
    e) identification of the method,
    f) a description, unambiguous identification, and the condition of the sample,
    g) the date of sampling,
    h) the date(s) of performance of the laboratory activity,
    i) the date of issue of the report,
    j) a statement to the effect that the results relate only to the items tested, or sampled,

k) the results with the units of measurement,
l) additions to, deviations, or exclusions from the method,
m) identification of the person(s) authorizing the report, and
n) clear identification when results are from external providers.

17.6.2 Laboratory Chain of Custody

GCT shall send all laboratory samples to the laboratory using QF500.Chain of Custody or similar chain.

17.6.3 Contract Laboratory Monitoring

GCT shall monitor the contract laboratory pursuant to GCT Quality Procedure QP27 Sub-Contractor Monitoring and Assessment.

17.7.0 TECHNICAL AIDS

QF498.Laboratory Contract Document
QF499.ISO/IEC 17025 Laboratory Audit Form
QF500.Chain of Custody

17.8.0 EXPLANATORY NOTE

N/A

GULF COAST TESTING, LLC

LABORATORY SERVICE CONTRACT
BETWEEN GULF COAST TESTING, LLC AND A&B LABORATORIES

THIS AGREEMENT ("Agreement") is made and entered into by and between Gulf Coast Testing, LLC, and _____, herein referred to as Laboratory, whose address is _____ with an effective date of January 16, 2023.

Section 1 - Services to be Provided

Laboratory shall provide testing services in accordance with this Agreement. All tests will be performed with that degree of care and skill ordinarily exercised under similar circumstances by reputable similar laboratories and using test procedures and laboratory protocols that correspond with Standard Methods or EPA approved methods.

Section 2 - Term

This Agreement shall commence immediately upon the effective date and shall continue until cancelled.

Section 3 – Certifications

Laboratory shall by LELAP or NELAP certified. Laboratory shall be ISO/IEC 17025 certified or submit to an audit of Laboratory by Gulf Coast Testing, LLC or its designee to determine compliance with ISO/IEC 17025.

Section 4 - Standard of Care

Gulf Coast Testing, LLC expects the services provided by laboratory under this agreement will be performed in a manner consistent with the level of care and skill ordinarily exercised by members of the laboratory profession currently practicing under similar conditions and time period in the locality of the project. No warranty, expressed or implied, is made or intended by providing laboratory services or by furnishing oral or written reports of the findings made.

Section 5 - Reports and Confidentiality

Laboratory will provide written reports as specified in the Chain of Custody. Except as required by law, Laboratory shall not disclose to any person or entity other than Gulf Coast Testing, LLC: 1) reports, 2) the conclusions, observations and opinions contained in reports or 3) any information, samples or other material supplied to Laboratory by Gulf Coast Testing, LLC. Laboratory shall abide by any additional confidentiality requirements requested by Gulf Coast Testing provided that such requirements are provided to Laboratory at or before execution of the testing.

Section 6 - Chain of Custody, Document Retention

Laboratory shall create and maintain appropriate written chain of custody documentation to assure linking of results to specific samples. Laboratory shall provide the chain of custody documentation with the report. Laboratory will retain test data for three years relating to the services performed.

Section 7 - Delivery, Acceptance and Retention of Samples

Loss or damage to samples remains the responsibility of Gulf Coast Testing, LLC until Laboratory's acceptance of samples by notation on Chain of Custody documents. Laboratory will retain samples for a period of 90 days following the date of submission of the report. Following the retention period, Laboratory will dispose of all samples pursuant to proper regulatory methods.

Section 8 - Changes to Chain of Custody Forms

No persons other than representatives of Gulf Coast Testing, LLC are authorized to act regarding changes to a Chain of Custody Form. Laboratory shall notify Gulf Coast Testing, LLC promptly upon identifying any activity that is a change to the terms and conditions of a Chain of Custody. The notification will include the date; nature, circumstance, and cause of the activity regarded as a change.

Section 9 - Compensation

Laboratory shall invoice Gulf Coast Testing, LLC pursuant to its publicly stated laboratory prices. Invoices shall be in a format acceptable to Gulf Coast Testing, LLC with adequate supporting documentation. In the event that Gulf Coast Testing, LLC disputes all or a portion of an invoice otherwise in an acceptable format, Gulf Coast Testing, LLC shall advise Laboratory in writing and shall resolve the disputed portion of the invoice by conferring with Laboratory

personnel.

Section 10 - Indemnification

Laboratory shall indemnify and hold harmless Gulf Coast Testing, LLC, its officers, directors, shareholders and employees from and against claims, demands, damages, liability and expenses, including attorneys' fees arising from Laboratory's negligent acts, omissions or breaches of contract or from the negligent acts, omissions or breaches of contract of persons or entities for whom Laboratory is legally responsible.

Gulf Coast Testing, LLC shall indemnify and hold harmless Laboratory, its officers, directors, shareholders and employees from and against claims, demands, damages, liability and expenses, including attorneys' fees arising from Gulf Coast Testing, LLC's negligent acts, omissions or breaches of contract or from the negligent acts, omissions or breaches of contract of persons or entities for whom Gulf Coast Testing, LLC is legally responsible.

Section 11 - Miscellaneous Provisions

This agreement constitutes the entire agreement between the parties and supersedes all other and prior agreements. Any term, condition, prior course of dealing, course of performance, usage of trade, understanding, purchase order conditions, or other agreement purporting to modify, vary, supplement, or explain any provision of this agreement is of no effect until placed in writing and signed by both parties subsequent to the date of this agreement.

Neither party will assign this agreement without the express written approval of the other, except the assignment of receivables for financing purposes. Laboratory may subcontract portions of this Agreement to other qualified laboratories if agreed upon by Gulf Coast Testing, LLC.

If any of the provisions of this agreement are considered to be invalid or unenforceable in any respect, the remaining terms will remain effective, and the agreement will be construed as if the invalid or unenforceable matters were never included in it. Neither party shall be liable for nonperformance caused in whole or in part by Acts of God, civil unrest and war.

_____

By: _____

Print Name: _____

Date: _____

Gulf Coast Testing, LLC

By: _____

Print Name: _____

Date: _____

17025 ISO-IEC Laboratory Audit

Laboratory:		Address:		
Section	**Parameter**	**YES**	**NO**	**Comments**
4.0	**General Requirements**			
4.1	Are laboratory activities impartial? Does the laboratory allow commercial, financial, or other pressures to impair impartiality?			
4.2	Does the laboratory keep the customers information confidential? Does the laboratory protect the confidentiality of clients, complainant, and regulators confidential			
5.0	**Structural Requirements**			
5.1	Is the laboratory a legal entity?			
5.2	Does the laboratory identify top management?			
5.3	Does the laboratory only run approved tests?			
5.4	Does the laboratory meet all the requirements for the approved tests?			
5.5	Does the laboratory have an organizational chart?			
5.6	Does the laboratory personnel have the authority to carry out their duties?			
5.7	Does the laboratory maintain its management system?			
6.0	**Resource Requirements**			
6.1	Does the laboratory have the personnel and resources?			
6.2	Do the lab personnel carry out their duties in a competent impartial manner? Are the competencies of the lab personnel documented? Are these records maintained?			
6.3	Is the laboratory environment suitable for its activities? Is contamination and interference prevented?			
6.4	Does the laboratory have sufficient equipment to carry out its testing? Is the equipment properly calibrated? Is the calibration properly documented?			
6.5	Are the calibrations traceable?			
6.6	Are external sources of products and services suitable for the laboratory?			

17025 ISO-IEC Laboratory Audit

Section	Parameter	YES	NO	Comments
7.0	**Process Requirements**			
7.1	Does the laboratory have a process for the review of requests and contracts? Are they adequately defined so the laboratory can determine if they have the resources to meet the requirements?			
7.2	Does the laboratory use the appropriate method for testing and measurement of uncertainty? Does the laboratory verify it can properly perform the method?			
7.3	Does the laboratory have a sampling plan?			
7.4	Does the laboratory have a procedure for handling calibrated items?			
7.5	Does the laboratory ensure technical records are kept that contain all the factors of the test which may affect the result?			
7.6	Does the laboratory identify contributions to the measurement of uncertainty?			
7.7	Does the laboratory have a procedure for monitoring the validity of test results? Does the laboratory require proficiency testing?			
7.8	Does the laboratory review results prior to release? Is all the required information in the report?			
7.9	Does the laboratory have a documented process to handle complaints?			
7.10	Does the laboratory have a procedure to control non-conforming work?			
7.11	Does the laboratory have a LIMS system to store and retrieve laboratory and client data?			
8.0	**Management System Requirements**			
8.1	Does the laboratory have a mangement system capable of ensuring the quality of laboratory results?			
8.2	How does the laboratory document ensure the management system is implemented at all levels of the organization?			
8.3	Does the laboratory have a document control system?			
8.4	Does the laboratory have a record control system?			

GCT GULF COAST TESTING, LLC

17025 ISO-IEC Laboratory Audit

Section	Parameter	YES	NO	Comments
8.5	Does the laboratory have a plan to consider risks and opportunities?			
8.6	Does the laboratory have a procedure to identify and select opportunities for improvement?			
8.7	Does the laboratory have a procedure for corrective actions? Does it include eliminating the non-conformity so that it does not reoccur?			
8.8	Does the laboratory conduct internal audits?			
8.9	Does the laboratoy conduct management reviews?			

_____ _____ _____ _____

Laboratory Representative's Signature Date GCT Representative's Signature Date

GCT GULF COAST TESTING, LLC

Mail Report to the following:

Company: _____
Contact: _____
Address: _____
Address: _____
City/St/Zip: _____
Email: _____
Phone: _____ Fax: _____

Project Information:

Project Manager: _____
Project Name: _____
Project Location: _____
Project No.: _____
Purchase Order No.: _____
Purchasing Contact: _____
Purchasing Phone No.: _____

Chain-of-Custody

Gulf Coast Testing, LLC
14378 Park Avenue
Prairieville, LA 70769
Jill Ratcliff
225.892.1132
jill.ratcliff@gctla.com

Hazards and Comments

Turnaround Time

Date Due: _____

☐ Normal (7-10 work days)
☐ Rush 5 day
☐ Rush 3 day
☐ Rush 1 day
} ***Rush Fees Will Apply***

Sampler's Name(s):

If there are multiple choices for an item please circle one.

Sample Identification	Sampling Date	Sampling Time	Preservation	# of Containers	Water: Drinking	Ground	Waste	Soil	Waste	Other _____										pH	Total Suspended Solids								Remarks

Relinquished by:	Company:	Date	Time	Received by:	Company:
Relinquished by:	Company:	Date	Time	Received by:	Company:
Relinquished by:	Company:	Date	Time	Received by:	Company:

NOTES: Samples will be discarded 30 days after invoicing unless notified in writing or high hazard.
All services provided will adhere to the gct Terms & Conditions.

Job No. _____

18.0 Preparation of an Evaluation Report

18.1.0 PURPOSE

The primary purpose of the Standard Performance Evaluation Report is to document and communicate the performance of the test unit relative to the Standards, or any other changes relative to a Standard.

18.2.0 POLICY

All Quality Procedures are written to comply with GCT policy established in the Quality Manual section with which this section corresponds.

18.3.0 APPLICATION

This section is to be performed by the Program Manager.

18.4.0 DEFINITIONS

N/A

18.5.0 REFERENCES

Standards
ISO/IEC 17065

18.6.0 PROCEDURES

18.6.1 REPORT COMPILATION

Compilation of the report shall be performed at the completion of the wastewater treatment system's performance evaluation for certification. The report shall be compiled by an engineer with experience in wastewater and the Standards using the format of the sample Standard Performance Evaluation Report. This report shall include all the information as required the Standard as well as the following information:

1. Cover page
2. Preface
3. Executive Summary
4. Table of contents
5. Process Description including a description of the unit evaluated, the test protocol, and test chronology
6. Analytical Results
7. Additional Models Certified

18.6.2 APPENDICES

The report shall contain, at a minimum, the following Appendices:

1. An Appendix containing the Treatment unit information
    a. Drawing with Unit Dimensions
    b. Equipment List
    c. Equipment Specifications
2. An Appendix showing the Performance Testing and Evaluation section of the appropriate Standard
3. An Appendix showing the Analytical Results of the testing
4. An Appendix containing the appropriate manuals
5. Documentation of the Approval of Additional Models (if any)
6. Any additional information required by the Standard

The Program Manager shall review the Standard Performance Evaluation Report for completeness and consistency. Validation by signature and dating shall be performed by the Program Manager on the Certification Certificate.

18.6.3 SUPPLEMENTAL REPORTS

GCT shall prepare a supplemental report for any additional changes to a model or the approval of additional models. The supplemental report will reference the original tested model.

18.6.4 CERTIFICATION LISTING

GCT shall not list a product as certified until the final report or final supplemental report has been completed.

18.6.5 REPORT DISTRIBUTION

GCT shall send out reports pursuant to the request of the Manufacturer.

18.6.6 REPORT RETENTION

The Program Manager will retain the report as part of the Project File in accordance with Gulf Coast Testing's Record Retention Policy as outlined in the QP014.Record and Document Control Procedure.

18.7.0 TECHNICAL AIDS

QF051.Standard Performance Evaluation (SPE) Report

18.8.0 EXPLANATORY NOTE

N/A

STANDARD 40 SPECIFIC PERFORMANCE EVALUATION REPORT

TABLE OF CONTENTS

TABLES

FIGURES

APPENDICES

19.0 Installation, Adjustment, and Removal

19.1.0 PURPOSE

The purpose of this section is to describe the procedures for installing or removing equipment to be tested.

19.2.0 POLICY

All Quality Procedures are written to comply with Gulf Coast Testing policy established in the Quality Manual section and conformity to ISO/IEC 17065.

19.3.0 APPLICATION

This section will be performed by the Deputy Program Manager.

19.4.0 DEFINITIONS

N/A

19.5.0 REFERENCES

Standards

19.6.0 PROCEDURES

19.6.1 INSTALLATION

The wastewater treatment system should be installed according to the manufacturer's installation manual.

1. Using the equipment part list, ensure that all required parts are available.
2. Select the next available location at the test site. See the Test Site Layout.
3. Excavate a hole approximately one (1) foot larger than the treatment plant and depth that will allow for sufficient coverage. The influent delivery pump line will determine the depth of the plant.
4. Carefully place the unit into the hole. The influent end of the unit will be connected to the influent delivery pump line, and the effluent end of the unit will be connected to the discharge line.
5. Connect all appropriate pipes, pumps, and electrical components.
6. Backfill the excavated hole around the unit.
7. GCT personnel shall record the installation in the Test Installation/Adjustment/Removal Form.

19.6.2 ADJUSTMENT

Should the wastewater treatment system require an adjustment permitted by the Standard and/or GCT's policies and procedures, the GCT personnel shall make or supervise the adjustment. The adjustment shall be recorded on the Test Installation/Adjustment/Removal Form.

19.6.3 REMOVAL

The wastewater treatment system should be removed according to the instructions from the manufacturer and/or according to the manufacturer's installation manual.

1. Disconnect all pipes, pumps, and electrical components from the tank.
2. Remove unit and coordinate disposal with Client.
3. Record the removal of the unit in the Test Installation/Adjustment/Removal Form.

19.7.0 TECHNICAL AIDS

QF035.Test Installation, Adjustment, Removal Form

19.8.0 EXPLANATORY NOTE

N/A

GCT GULF COAST TESTING, LLC

SPE_____

TEST INSTALLATION ADJUSTMENT REMOVAL RECORD

Plant Manufacturer: _____

Plant Model #: _____

Compressor Manufacturer: _____Model: _____

Installation

Installation: Date: _____ Time: _____AM/PM Location: _____

☐ The unit is functioning satisfactorily

☐ The unit is not functioning satisfactorily;
Adjustment Scheduled for _____

_____
Customer Representative's Signature

_____
Gulf Coast Testing Staff's Signature

Adjustment

Adjustment: Date: _____Time: _____AM/PM

Reason for Adjustment: _____

_____

_____

_____
Customer Representative's Signature

_____
Gulf Coast Testing Staff's Signature

Removal

Removal: Date: _____Time: _____AM/PM

_____
Customer Representative's Signature

_____
Gulf Coast Testing Staff's Signature

20.0 Sampling Procedure for Inspections

20.1.0 PURPOSE

The purpose of this section is to describe the procedures for choosing the observations that constitute random samples of the items GCT is sampling.

20.2.0 POLICY

All Quality Procedures are written to comply with GCT policy.

20.3.0 APPLICATION

This section is to be performed by the Program Manager.

20.4.0 DEFINITIONS

Population - All the possible units or elements.

Probability Sampling - A technique used to ensure that every element in a population has an equal chance of being incorporated into the sample.

Sample - A portion of the elements in a population.

Sampling Frame - A listing of the elements in a population.

Systematic Random Sampling - A sampling procedure done through some ordered criteria by choosing elements from a randomly arranged sampling frame.

Stratified Random Sampling - A sampling procedure that recognizes subgroups in a sample. The subgroups within the sampling frame are treated as though they are separate sampling frames.

20.5.0 REFERENCES

ISO/IEC 17020

20.6.0 PROCEDURES

The Program Manager shall determine which sampling procedure is applicable to the inspection and use the appropriate sampling technique.

20.6.1 SYSTEMATIC RANDOM SAMPLING

When the population is homogeneous, a systematic random sampling procedure shall be used. A systematic random sample is taken as follows:

Decide on the sample size. The sample size for all GCT sampling can be found in the respective procedure for the inspection/audit.

1. Determine the population.
2. Divide the sample size into the population to select the elements to be samples.

Example: If the sample size is five (5) and the population is fifty (50), the proportion of 5/50 yields .10 which would be a sample of every 10th element.

20.6.2 STRATIFIED RANDOM SAMPLING

When the population to be sampled is not homogeneous, a stratified random sample is taken as follows:

1. Segregate the population into the different subgroups, i.e. metal tanks, concrete tanks, and poly tanks.
2. Decide on the sample size. The sample size for all GCT sampling can be found in the respective procedure for the inspection/audit.
3. Determine the population of each subgroup.
4. For each subgroup, divide the sample size into the population to select the elements to be samples.

Example: If there are one hundred (100) total tanks and twenty-five (25) are metal and seventy-five (75) are concrete. The metal tank population would be twenty-five (25) and the concrete tank population would be seventy five (75). If the sample size for the metal tanks is five (5) and the population is twenty-five (25), the proportion of 5/25 yields .20 which would be a sample of every 5th metal tank.

20.6.3 RANDOM SAMPLING

When the population to be sampled calls for a random sample, GCT personnel shall utilize the following procedure:

1. The Laboratory and Technical Manager shall determine the range of the sample. Example: If a sample is to be taken in the first thirty days of a test, the range is between one and thirty.
2. The Laboratory and Technical Manager shall ask the Quality Assurance Officer to generate a random number from that range using the Excel random number generator.
3. The Laboratory and Technical Manager shall use that number for the sample collection.

20.7.0 TECHNICAL AIDS

N/A

20.8.0 EXPLANATORY NOTE

N/A

21.0 Equipment Control and Maintenance

21.1.0 PURPOSE

This section describes the calibration, maintenance and control of test and measuring equipment and computer software used in sampling, analysis, and inspection.

21.2.0 POLICY

All Quality Procedures are written to comply with Gulf Coast Testing policy established in the Quality Manual section and conformity to ISO/IEC 17065 and ISO/IEC 17025.

21.3.0 APPLICATION

This section is to be performed by the Deputy Program Manager.

21.4.0 DEFINITIONS

N/A

21.5.0 REFERENCES

N/A

21.6.0 PROCEDURES

21.6.1 ANALYTICAL EQUIPMENT

All analytical equipment is calibrated and/or verified according to the manufacturer's recommendations and/or the requirements of the applicable standard operating procedure. The Deputy Program Manager maintains a master list of equipment used by GCT for the generation of test results as well as a master list of computer software used for data handling and processing. All analytical equipment is uniquely identified with a GCT number and a manufacturer serial number.

21.6.2 INTERMEDIATE CHECKS

The Deputy Program Manager determines the requirements for intermediate checks on calibrated equipment. If such checks are required, they shall be found in the operation manual or in the Standard Operating Procedure for the instrument used. The Deputy Program Manager determines the requirements for correction factors for measuring equipment.

21.6.3 MAINTENANCE AND REPAIR

The primary instrument operator will document maintenance and repair using the Maintenance Log. The Deputy Program Manager will select and use an approved subcontractor for all maintenance and repair work.

An entry will be made to the Maintenance Log when an item of equipment is damaged. This entry will describe the damage, repair, re-calibration information, or reason for

not re-calibrating. Damaged or improperly working equipment will be clearly identified as “Out of Service” until repairs are completed. The damaged equipment will be re-calibrated if the damage was such that the calibration has been rendered suspect.

21.6.4 TEST SOFTWARE

Test software must be verified by demonstration. Any revisions to test software must be verified before use. The primary instrument operator will provide details of software verification.

21.7.0 TECHNICAL AIDS

N/A

21.8.0 EXPLANATORY NOTE

Equipment used for calibration will be used only for calibration unless it can be shown that the performance of the reference standard is not invalidated. If relevant, in-service checks will be made on calibrated equipment between calibration intervals. Equipment used for calibration will be certified by a nationally or internationally recognized authority with standards traceable to NIST.

The following equipment records will be maintained:

Record	Custodian	Minimum
Master Equipment List	Deputy Program Manager	7 Years
Calibration Record	Deputy Program Manager	7 Years
Maintenance Records	Deputy Program Manager	7 Years
Repair Records	Deputy Program Manager	7 Years
Software Verification Records	Program Manager	7 Years

22.0 Measurement Traceability

22.1.0 PURPOSE

Measurement traceability is a method of ensuring that measurement considers all uncertainties and is an accurate representation of an object being measured. This section describes the calibration, access, storage, maintenance, and control of reference standards.

22.2.0 POLICY

All Quality Procedures are written to comply with GCT policy established in the Quality Manual.

22.3.0 APPLICATION

This section is to be performed by the Deputy Program Manager.

22.4.0 DEFINITIONS

N/A

22.5.0 REFERENCES

ISO/IEC 17025

22.6.0 PROCEDURES

22.6.1 ANALYTICAL EQUIPMENT

All analytical equipment shall be calibrated and/or verified according to the GCT QP34 Calibration Procedure, the manufacturers' recommendation, and/or the requirements of any applicable technical standard. The NIST calibration status of all equipment shall be displayed using calibration stickers. Calibration reports shall be maintained by the Deputy Program Manager in the Calibration Logbook.

Any laboratory work done at GCT shall adhere to the following procedures:

1. The equipment user shall ensure that equipment is in current calibration status before use. This includes new and existing equipment.
2. Whenever possible, calibrations shall be made such that measurements can be traceable to NIST standards.
3. The laboratory shall only use approved subcontractors (if required) for calibration services.

22.6.2 REFERENCE MATERIALS

The Deputy Program Manager shall maintain a list of reference standards and record the location of the standards in the Calibration Logbook.

Reference standards shall be marked and kept separate from sample storage areas. They shall be kept in a manner to preserve their integrity and used only by laboratory staff. The Deputy Program Manager shall maintain a record of the initial calibration of reference standards, along with handling, transportation, and storage, as necessary.

22.6.3 CHEMICALS AND CONSUMABLES

Chemicals shall only be handled by GCT employees who have been trained in the appropriate procedure. The Deputy Program Manager is responsible for confirming the lot number, storage conditions, and expiration date of chemicals used by GCT.

22.7.0 TECHNICAL AIDS

N/A

22.8.0 EXPLANATORY NOTE

N/A

23.0 PROCUREMENT

23.1.0 PURPOSE

The purpose of this section is to describe the procedures for ensuring that vendors are selected that meet GCT's quality standards and insurance requirements.

23.2.0 POLICY

All Quality Procedures are written to comply with Gulf Coast Testing policy established in the Quality Manual section and conformity to ISO/IEC 17065 and ISO/IEC 17025.

23.3.0 APPLICATION

This section is to be performed by the Deputy Program Manager.

23.4.0 DEFINITIONS

N/A

23.5.0 REFERENCES

N/A

23.6.0 PROCEDURES

23.6.1 VENDOR QUALIFICATION

The Deputy Program Manager will review a vendor's qualifications. The Deputy Program Manager shall review the following vendor qualifications:

1. Quality of Vendor's Products
2. Products meet GCT's technical and analytical requirements
3. Insurance
4. Shipping or Delivery Time
5. Technical Support
6. Conflict of interest

The Deputy Program Manager shall determine if the vendor meets GCT's qualifications.

23.6.2 VENDOR SELECTION

GCT personnel authorized for procurement may use any vendor on the vendor list provided that:

1. A minimum of two bids are received for items over $1000.
2. If less than two bids are received, approval is required from the Deputy Program Manager.
3. The Program Manager may select any vendor without receiving bids.
4. Bidding is not required for professional contracts. All professional work required by GCT will be determined by Qualification Based Selection.

23.6.3 VENDOR BIDDING PROCESS

For the purposes of this section, a bid is any quotation from a vendor on the GCT vendor list, written or oral, that is binding on the bidder.

23.6.4 VENDOR DISCLOSURE

Vendors are required to disclose, upon request from GCT, if any of their partners, owners, shareholders, principles, or employees have an ownership interest in any supplier whom GCT certifies. Any vendor failing to disclose the information upon request by GCT may be removed from the vendor list.

23.6.5 VENDOR DOCUMENTATION

All purchases by GCT shall be recorded on a purchase order form and all appropriate documentation attached to the purchase order form. The Deputy Program Manager shall retain the form pursuant to GCT's Document Control and Retention Procedure.

23.6.6 PURCHASE OF LABORATORY SUPPLIES

For consumable laboratory supplies, the Deputy Program Manager make the purchase request.

The Deputy Program Manager is responsible for ordering, receiving, and tracking all chemicals and reagents. Upon receipt, each chemical or reagent shall be inventoried by name, vendor, catalog number, lot number, date received, date opened, and inspection date. The Deputy Program Manager shall inspect the Certificate of Analysis, Reference Materials, or other information to ensure the chemicals and reagents meet the minimum requirement of the SOP and then shall be filed in the laboratory records log. The Deputy Program Director shall keep a record of the supplies purchased by the laboratory and shall be maintained pursuant to the Document Control and Retention Procedure.

If the manufacturer provides an expiration date, it shall be recorded on the container. Standards, reference materials, and reagents shall not be used after the expiration date.

23.7.0 TECHNICAL AIDS

N/A

23.8.0 EXPLANATORY NOTE

N/A

24.0 SUBCONTRACTOR SELECTION

24.1.0 PURPOSE

The purpose of this section is to describe the procedures for ensuring that subcontractors are selected that meet GCT's quality standards and insurance requirements.

24.2.0 POLICY

All Quality Procedures are written to comply with Gulf Coast Testing policy established in the Quality Manual section and conformity to ISO/IEC 17065.

24.3.0 APPLICATION

This section is to be performed by the Program Manager.

24.4.0 DEFINITIONS

N/A

24.5.0 REFERENCES

Standards
ISO IEC 17025

24.6.0 PROCEDURES

24.6.1 SUBCONTRACTOR QUALIFICATION

The Deputy Program Manager will review a subcontractor's qualifications. The Deputy Program Manager shall review the following qualifications:

1. Experience of Sub-Contractor for tasks specified by GCT
2. Proper Licensing, Registration, and Accreditation
3. Insurance
4. If appropriate, knowledge of Standards
5. If analytical labs, ISO 17025 compliant
6. Potential Conflicts of interest

24.6.2 SUBCONTRACTOR SELECTION

The Deputy Program Manager is responsible for the selection of subcontractors. The Program Manager may select any subcontractor on GCT's Subcontractor list form.

24.6.3 SUBCONTRACTOR DISCLOSURE

Subcontractors are required to disclose, upon request from GCT, if any of their partners, owners, shareholders, principles, or employees have an ownership interest in any supplier whom GCT certifies and sign GCT's Consulting and Subcontractor Agreement form. Any vendor failing to sign these agreements shall not be allowed to work for GCT.

24.7.0 TECHNICAL AIDS

N/A

24.8.0 EXPLANATORY NOTE

N/A

25.0 TRAINING

25.1 PURPOSE

The purpose of this section is to describe the procedures for ensuring that employees are appropriately trained and competent to perform GCT's certification activities.

25.2 POLICY

All Quality Procedures are written to comply with Gulf Coast Testing policy established in the Quality Manual section and conformity to ISO/IEC 17065, ISO/IEC 17025, and ISO/IEC 17020.

25.3 APPLICATION

This section is to be performed by the Program Manager and Deputy Program Manager.

25.4 DEFINITIONS

N/A

25.5 REFERENCES

ISO/IEC 17025 Section 5.2
ISO/IEC 17065 Section 6.1

25.6. PROCEDURES

25.6.1 NEW EMPLOYEE TRAINING

The Deputy Program Manager is responsible for ensuring that all new GCT employees are competent to perform GCT's certification activities. The Deputy Program Manager may assign to appropriate personnel the task of providing training and guidance to the employees. The Deputy Program Manager shall provide appropriate supervision during the training period. The training will take place over a 30-day period or extended at the discretion of the Deputy Program Manager. work activities. This training will include a briefing on the GCT Quality Management System, Ethics, Computer Security, Facility Security and the Certification Program. The goal of the training is to evaluate the skills of the employee so the employee may independently perform their activities.

25.6.1.1 MANDATORY TRAINING

The GCT employees will study the material provided by the Deputy Program Manager which shall include, but not be limited to, Data Ethics, Confidentiality, ISO/IEC 17065, ISO/IEC 17025, ISO/IEC 17020, and the Standards. The Deputy Program Manager or their designee shall explain the material to the employees.

25.6.1.2 ON-THE-JOB TRAINING

On-the-job describes training that is given in a normal working situation, typically conducted by one employee for another, using the actual tools, equipment, documents, or materials that they will use when fully trained.

25.6.2 DOCUMENTATION

All training will be documented in the Training Documentation Log and signed by the trainer (if applicable), the Deputy Program, and the employee.

25.7 TECHNICAL AIDS

QF007.GCT Training Documentation Log

25.8 EXPLANATORY NOTE

N/A

GULF COAST TESTING, LLC

Training Documentation Log

Employee	

Document Reviewed	Section	Date	Trainer

26.0 MEASUREMENT OF UNCERTAINTY

26.1.0 PURPOSE

This section describes the process for the estimation of measurement uncertainty.

26.2.0 POLICY

All Quality Procedures are written to comply with Gulf Coast Testing policy established in the Quality Manual section and conformity to ISO/IEC 17065 and ISO/IEC 17025.

26.3.0 APPLICATION

This section is to be performed by the Quality Assurance Officer.

26.4.0 DEFINITIONS

Measurement of Uncertainty – a parameter associated with the result of a measurement that characterizes the dispersion of the values that could reasonably be attributed to the measurement. The uncertainty generally includes many components which may be evaluated from experimental standard deviations based on repeated observations (Type A evaluation) or by standard deviations evaluated from assumed probability distributions based on experience or other information (Type B evaluation).

Coverage Factor – the number that is multiplied by the standard uncertainty to produce an uncertainty estimate that will contain a large fraction of all the values that might be obtained on a test.

26.5.0 REFERENCES

N/A

26.6.0 PROCEDURES

26.6.1 ESTIMATING UNCERTAINTY

26.6.1.1 RELATIVE STANDARD DEVIATION OF LAB CONTROL SAMPLES

1. Perform spiked determinations at different concentrations including tolerance limits
2. Calculate concentration and percent recovery
3. Calculate the standard deviation (S) and relative standard deviation (RSD) on results where the process is in statistical control (no outliers)
4. Calculate standard deviation at 95% confidence level as follows:

   $U=k \cdot RSD$ where U=uncertainty
   K=coverage factor
   RSD=Relative Standard Deviation
5. Calculate the measurement uncertainty interval for a measured value as follows:

Interval = U•c where C=concentration

26.6.1.1 ROOT SUM SQUARE METHOD

1. Clearly define what is being measured
2. Review the method and identify every possible source of uncertainty
3. Review the sources and determine whether or not the components are included when running lab control samples
4. Quantify all components including but not limited to:

    a. Method of validation studies
    b. Information from published methods or textbooks
    c. Calibration certification
    d. Manufacturer's specifications
    e. Experience

5. Consider the components. Assume the components are independent. Every component does not have to be evaluated if it is deemed insignificant. Components less than a fifth of the largest component can be eliminated.
6. Combine the components by squaring all the independent components, adding them, and take the square root of the sum. This is the combined standard uncertainty.
7. Expand the combined standard uncertainty by multiplying the combined uncertainty by a coverage factor based on the level of confidence needed. For a 95% confidence level, k=2.

26.6.2 REPORTING UNCERTAINTY ESTIMATES

The extent of the reporting of the uncertainty depends on the needs of the client, the specifications of the test, and the intended use of the result. Documentation shall be required when reporting.

If reported, the uncertainty is reported to the same number of significant figures as the result and in the same units.

26.7.0 TECHNICAL AIDS

N/A

26.8.0 EXPLANATORY NOTE

N/A

27.0 SUBCONTRACTOR MONITORING AND ASSESSMENT

27.1.0 PURPOSE

The purpose of this section is to describe the procedures for ensuring that subcontractors are monitored and regularly assessed to meet GCT's quality standards and insurance requirements.

27.2.0 POLICY

All Quality Procedures are written to comply with Gulf Coast Testing policy established in the Quality Manual section and conformity to ISO/IEC 17065 and ISO/IEC 17025.

27.3.0 APPLICATION

This section is to be performed by the Deputy Manager.

27.4.0 DEFINITIONS

Subcontracting and *outsourcing* are considered to be synonymous.

27.5.0 REFERENCES

ISO/IEC 17065 – Section 6.2.2.2

27.6.0 PROCEDURES

27.6.1 SUB-CONTRACTORS ASSESSMENT

The Deputy Manager, with consultation from the Laboratory and Field Technical Manager, will review a subcontractor's qualifications. The Deputy Manager shall review the following qualifications of the subcontractor:

1. Experience in area of work
2. Insurance (Subcontractor will supply proof of insurance)
3. Understanding GCT's technical and analytical requirements
4. Understanding of GCT's quality system
5. Safety Record (Subcontractor will supply safety policy if applicable)
6. Demonstrated continued education in area of technical expertise if applicable
7. Conflict of interest

If, in the sole discretion of the Deputy Manager or Program Manager, the subcontractor meets GCT's qualifications, the subcontractor shall be added to GCT's subcontractor list.

27.6.2 SUB-CONTRACTOR MONITORING

GCT personnel responsible for the subcontracted work shall monitor the subcontractor on an annual basis. Subcontractors shall be monitored for the following:

a. Expertise of Contractor's personnel
b. Subcontractor's adherence to GCT's Quality Manual and Quality Procedures (if applicable)
c. Subcontractor's compliance with health and safety regulations

GCT personnel, on an annual basis, shall fill out the Subcontractor Monitoring Form as evidence of their monitoring activities.

27.6.2 SUB-CONTRACTOR DISCLOSURE

Subcontractors shall sign the Consulting and Subcontractor Agreement Form. Vendors are required to disclose, upon request from GCT, if any of their partners, owners, shareholders, principles, or employees have an ownership interest in any Client whom GCT certifies. Any sub-contractor failing to disclose the information upon request by GCT may be removed from the sub-contractor list.

27.7.0 TECHNICAL AIDS

QF009.List of GCT Sub-contractors
QF011.Sub-Contractor Monitoring Form

27.8.0 EXPLANATORY NOTE

N/A

GULF COAST TESTING, LLC

List of GCT Subcontractors

Name	Company Name	Confidentiality Agreement	Consulting Agreement	1099 Information	Start Date	End Date

GULF COAST TESTING, LLC

SUBCONTRACTOR MONITORING

Subcontractor: _____

Item	Basis of Evaluation	Assessment	Improvement Action Item
Experience		☐ No problems Reported ☐ Improvement Needed	
Insurance		☐ No problems Reported ☐ Improvement Needed	
Understanding of GCT's Technical and Analytical Requirements		☐ No problems Reported ☐ Improvement Needed	
Understanding of GCT's Quality System		☐ No problems Reported ☐ Improvement Needed	
Safety Record		☐ No problems Reported ☐ Improvement Needed	
Continuing Education		☐ No problems Reported ☐ Improvement Needed	
Ethics		☐ No problems Reported ☐ Improvement Needed	

Signature of Subcontractor _____ **Date** _____

Signature of GCT Evaluator _____ **Date** _____

28.0 PREVENTIVE ACTIONS

28.1.0 PURPOSE

The purpose of this section is to describe how to perform preventive actions to prevent nonconformity or problems with the Quality System.

28.2.0 POLICY

All Quality Procedures are written to comply with Gulf Coast Testing policy established in the Quality Manual section and conformity to ISO/IEC 17065 and ISO/IEC 17025.

28.3.0 APPLICATION

This section is performed by the QA/QC Manager.

28.4.0 DEFINITIONS

Preventive Action is any action taken to eliminate the cause of a potential non-conformity or other potentially undesirable situation. Whereas a corrective action is taken to prevent reoccurrence, a preventive action is taken to prevent occurrence.

28.5.0 REFERENCES

ISO/IEC 17065 Section 8

28.6.0 PROCEDURES

The preventive action procedure will collect information, analyze information, and investigate quality problems.

28.6.1 IDENTIFICATION OF POTENTIAL NONCOMFORMITIES

1. GCT personnel are committed to having a Quality System and are responsible for making any corrections to existing Quality Procedures and SOPs to ensure that potential problems are recognized in advance of occurrence.
2. GCT shall routinely capture data from all its activities, procedures, audits, and complaints and examine the data to determine if a Quality System is being maintained.
3. GCT shall review the audit observations for opportunities to improve the Quality System.
4. GCT shall review the observations of the management reviews to improve the Quality System.
5. GCT shall encourage customers to make observations of the GCT Quality system and discuss any potential preventive action requests with GCT personnel.

28.6.2 Evaluating the Need for Preventive Action

The QA/QC Manager and the Deputy Program Manager will review the preventive action request. One of three determinations shall be made by the QA/QC Manager:

1. The request is valid and should be implemented.
2. The request requires more detailed analysis.
3. The request will not provide the proposed preventive measure and will not be implemented.

28.6.3 Identifying the Root Cause of a Nonconformance

To initiate a preventive action request, GCT employees will complete the Corrective Action Form and give the form to the QA/QC Manager. The QA/QC Manager and the Deputy Program Manager will review the preventive action request. One of three determinations shall be made by the QA/QC Manager:

1. The request is valid and should be implemented.
2. The request requires more detailed analysis.
3. The request will not provide the proposed preventive measure and will not be implemented.

28.6.4 Implementing the Preventive Maintenance

In the event the Preventive Action is to be implemented, the QA/QC Manager will meet with appropriate GCT personnel to implement the proposed preventive action. The implementation will consider the effects of implementing the change during a process in progress and the effect on the Quality Management System if such a change is made.

28.6.5 Documenting the Preventive Action

The Corrective Action Form will be used to assure that the preventive action is correctly implemented and is appropriate to the impact of the problem encountered. The corrective action will be implemented in a timely manner, and the QA/QA Manager shall confirm the effectiveness with a follow-up audit.

28.7.0 TECHNICAL AIDS

QF050.Corrective Action Form

28.8.0 EXPLANATORY NOTE

N/A

GULF COAST TESTING, LLC

Corrective Action Form

Audit No.:_____ **Non-Conformance No.:** _____

Complaint No.:_____ **SPE No.:** _____

Description of Problem:

Auditor: _____ **Date:** 09/07/22

Received by: _____ **Title**: _____ **Date:** _____

Root Cause:

Corrective Action:

Acknowledged By: _____ **Title** _____ **Date:** _____

Description of Follow-Up Audit:

Auditor: _____ **Date:** _____

Received by: _____ **Title**: _____ **Date:** _____

29.0 USE OF THE ANAB MARK

29.1.0 PURPOSE

The purpose of this section is to outline the procedure and conditions governing the use of the ANSI National Accreditation Board (ANAB) name and accreditation symbols and claims of accreditation by ANAB-accredited conformity assessment bodies (CABs) by GCT or a GCT certified manufacturer.

29.2.0 POLICY

All Quality Procedures are written to comply with Gulf Coast Testing policy established in the Quality Manual section and conformity to ISO/IEC 17065.

29.3.0 APPLICATION

This section is performed by the Deputy Program Manager.

29.4.0 DEFINITIONS

Accreditation Mark - Legally registered trademark applied or issued under the procedures of the accreditation system

CAB - ANAB-accredited conformity assessment body

Certified Client - A client that has been certified by GCT as meeting the requirements of a specific standard

29.5.0 REFERENCES

ANAB-PR-1018 - Policy on Use of ANAB Accreditation Symbols and Claims of Accreditation Status

29.6.0 PROCEDURES FOR GCT DISPLAYING THE ANAB MARK

29.6.1 GENERAL REQUIREMENTS

29.6.1.1 ANAB Accreditation Symbols and references to ANAB accreditation may be used only after accreditation has been granted. While GCT is accredited by ANAB, GCT shall have the right to use the accreditation certificate (including the scope of accreditation) and the ANAB Accreditation Symbol, and reference ANAB accreditation, in accordance with this policy.

29.6.1.2 GCT shall use only the ANAB Accreditation Symbol provided to it by ANAB. References to or descriptions of accreditation shall include, at a minimum:

a. Applicable accreditation program (e.g., testing, calibration, product certification, management systems, personnel certification)
b. Accreditation standard to which the CAB is accredited, and
c. Statement that the accreditation is issued by ANAB.

29.6.1.3 ANAB Accreditation Symbols and references to ANAB accreditation shall be used only under the name or registered trade name of the legal entity that holds the accreditation.

29.6.1.4 When GCT refers to accreditation in any medium – including but not limited to advertising, marketing materials, quotes, proposals, certificates, reports, stationery, and literature in hard copy or electronic format or on websites – by use of an ANAB Accreditation Symbol, ANAB business name, or ANAB business acronym, GCT shall ensure:

a. The accreditation symbol or statement used is specific to the applicable ANAB accreditation program.
b. The symbol, name, or acronym is used only in relation to activities within the scope of accreditation and not associated with other activities in which GCT may be involved.
c. Such reference is neither misleading nor includes any unauthorized representation of accreditation status.
d. Such reference includes no implication that ANAB accepts responsibility for or approves of results or any opinion or interpretation derived from those results.
e. Such reference includes no implication that a product, item, process, service (or any part of it), management system, or person is approved or certified by ANAB; and
f. The accreditation symbol is not affixed on its own to any product or its labeling or packaging.

29.6.1.5 GCT shall not use the ANAB Accreditation Symbol or make references to ANAB accreditation in any way that brings ANAB into disrepute and shall not make any statement regarding their accreditation that ANAB may consider inaccurate, misleading, or unauthorized.

29.6.2 TECHNICAL REQUIREMENTS

29.6.2.1 The ANAB accreditation mark shall be displayed only in an appropriate form and size as determined by ANAB-PR-1018. The ANAB accreditation mark shall only be displayed in the form, scaling, and color detailed by ANAB in ANAB-PR-1018.

29.6.2.2 Whenever GCT uses the ANAB Accreditation Mark, GCT shall print its accreditation number (203) centered immediately under the ANAB Accreditation Mark, as demonstrated below.

29.7.0 TECHNICAL AID

N/A

29.8.0 EXPLANATORY NOTE

N/A

30.0 IMPARTIALITY

30.2.0 PURPOSE

This section describes the process for conducting reviews of the impartiality of GCT's scheme. GCT is committed to impartiality in certification activities and has the overall responsibility to ensure that certification is done in accordance with the ISO/IEC 17065, ISO/IEC 17025, and GCT's Quality Procedures. GCT declares that it understands the importance of impartiality in conducting its certification activities, has mechanisms in place to identify and manage conflicts of interest, and therefore ensures the impartiality of GCT's certification activities.

30.3.0 POLICY

All Quality Procedures are written to comply with Gulf Coast Testing policy established in the Quality Manual section and conformity to ISO/IEC 17065, and ISO/IEC 17025.

30.4.0 APPLICATION

The process of handling conflict of interests is under the responsibility of the Program Manager. The Program Manager gathers possible cases, ensures that a decision on each case is taken and documents the proceedings.

Impartiality is a fundamental element of any credible certification system. The overall aim of certification is to give confidence to all parties that a product or a management system fulfills specified requirements. The value of certification is the degree of public confidence and trust that is established by an impartial and competent assessment by a third-party. Being impartial, and being perceived to be impartial, is necessary for a certification body to deliver certification that provides confidence.

This Quality Procedure explains GCT's approach towards impartiality and describes the mechanisms in place which shall prevent us from partial decision-taking.

30.5.0 DEFINITIONS

Impartiality - when decisions are based on objective criteria, rather than based on bias, prejudice, or preferring the benefit of one party over another. Impartiality is the result of the actual and perceived presence of objectivity.

Objectivity - means that conflicts of interest do not exist or are resolved so as not to adversely influence subsequent activities of the certification body.

Partiality - when the certification body's decisions are not based on objective evidence of conformity (or non-conformity), but instead its decisions are influenced by other interests or by other parties. Partiality may arise where there are:

1. Self-interest threats: threats that arise from a person or body acting in their own interest. By way of example, a concern related to certification, as a threat to impartiality, would be financial self-interest.
2. Self-review threats: threats that arise from a person or body reviewing the work done by themselves. Auditing the client to whom the certification body provided consultancy would be a self-review threat.

3. Familiarity (or trust) threats: threats that arise from a person or body being too familiar with or trusting of another person instead of seeking audit evidence.
4. Intimidation threats: threats that arise from a person or body having a perception of being coerced openly or secretively, such as a threat from a person in a position of power, such as a superior in the organization.
   A relationship that threatens the impartiality of the certification body can be based on ownership, governance, management, personnel, shared resources, finances, contracts, marketing and payment of a sales commission or other inducement for the referral of new clients.

30.6.0 REFERENCES

ISO/IEC 17065, Section 4.2 and 5.

30.7.0 PROCEDURES

30.7.1.1 Pro-Active Reporting

A crucial step in safeguarding the impartiality of our certification services is to find an appropriate way to identify, analyze and document the possibilities for conflict of interests arising from provision of certification and the provision of other services – both related to, and independent from, GCT's certification services.

The basis of this Quality Procedure is the attached Conflict of Interest Risk Matrix which more precisely sets out possible risks, the assessed severity of the risk and the tools employed to mitigate the risk. This Risk Matrix will change from time to time, as the nature and severity of risks change. It is reviewed by GCT employees on an annual basis as part of the yearly Management Review.

Staff is asked to report to the Quality Manager:

1. Any cases where staff has identified political, financial, or other type of interference in the certification decision-making.
2. Any other case where they identified a potential conflict of interest; examples for this can be found in the Conflict-of-Interest Risk Matrix.
3. The cases should be referred to the Program Manager in writing. If the concerned staff member feels uncomfortable in formalizing his/her concerns in writing (e.g., email or report), he/she can also ask for a confidential talk with the Program Manager.

30.7.1.2 Impartiality by Management

In the event management is not impartial in GCT's scheme, employees shall take independent action to preserve impartiality while respecting the client's right to confidentiality. Such independent may include, but is not limited to, reporting to other management, regulators, auditors, and accreditors. Additionally, an input from management in conflict with the impartiality requirements of ISO/IEC 17065 shall not be followed.

30.7.1.3 Random Case Review

In addition to the above, the Program Manager will have the internal auditor perform a random check on two (2) cases that were not brought proactively. This will be done during the Internal Audit. The two (2) cases should be drawn according to the following parameters:

1. An extra-ordinary certification result was achieved by a client's product.
2. The number of non-conformities raised during an audit dropped significantly from one year to another.
3. An exception has been granted to the client. Both certification and additional services have been sold to a client.

30.8.0 TECHNICAL AIDS

QF014.GCT Conflict of Interest Reporting Form
QF015.Risk Matrix
QF501.17065 Checklist for Impartiality Review

30.9.0 EXPLANATARY NOTES

N/A

GCT GULF COAST TESTING, LLC

CONFLICT OF INTEREST REPORTING FORM

Affected party			
Description of conflict			
Is GCT being paid to do this work; if so, by whom?			
List any potential conflicts of interest identified			
Who will be performing the work?			
Rating	SC	MC	LC
Reason for conflict rating			
Has the work been approved to be conducted? If so, any conditions?			

GCT Employee Signature **Date**

GULF COAST TESTING, LLC

IMPARTIALITY RISK MATRIX		
POLICY/REQUIREMENT	**PERSONS AFFECTED**	**CONSEQUENCES OF BREACH**
Conflicts of Interest - All employees must manage conflicts of interest.	All employees	• Breach of the law - Penalities will depend on the breach • Civil Liability - Claim for damages by client • Breach of policy - Disciplinary action including termination of employment • Brand damage (GCT loses industry standing)
Adequate management of conflicts that arise in the course of evaluation testing and continuing compliance	All employees	• GCT and employees may be subject to regulatory actions • Civil Liability - Claim for damages by client • Breach of policy - Disciplinary action including termination of employment • Brand damage (GCT loses industry standing)
Falsifying Test Results/Documents	All employees	• Breach of the law - Criminal Penalities will be filed against employee • Civil Liability - Claim for damages by client • Breach of policy - Disciplinary action including termination of employment • Brand damage (GCT loses industry standing)
Violation of Confidentiality	All employees	• Breach of the law - Penalities will depend on the breach • Civil Liability - Claim for damages by client • Breach of policy - Disciplinary action including termination of employment • Brand damage (GCT loses industry standing)

Clause	Requirement	GCT Action	Risk Level
4.2	**Management of Impartiality**		
4.2.1	Certification activities shall be undertaken impartially.		
4.2.2	The certification body shall be responsible for the impartiality of its certification activities and shall not allow commercial, financial or other pressures to compromise impartiality.		
4.2.3	The certification body shall identify risks to its impartiality on an ongoing basis. This shall include those risks that arise from its activities, from its relationships, or from the relationships of its personnel (see 4.2.12). However, such relationships may not necessarily present a certification body with a risk to impartiality. NOTE 1 A relationship presenting a risk to impartiality of the certification body can be based on ownership, governance, management, personnel, shared resources, finances, contracts, marketing (including branding), and payment of a sales commission or other inducement for the referral of new clients, etc. NOTE 2 Identifying risks does not imply risk assessments as stated in ISO 31000.		
4.2.4	If a risk to impartiality is identified, the certification body shall be able to demonstrate how it eliminates or minimizes such risk. This information shall be made available to the mechanism specified in 5.2.		
4.2.5	The certification body shall have top management commitment to impartiality.		

Clause	Requirement	GCT Action	Risk Level
4.2.6	The certification body and any part of the same legal entity and entities under its organizational control (see 7.6.4) shall not: a) be the designer, manufacturer, installer, distributer or maintainer of the certified product; b) be the designer, implementer, operator or maintainer of the certified process; c) be the designer, implementer, provider or maintainer of the certified service; d) offer or provide consultancy (see 3.2) to its clients; e) 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. NOTE 1 This does not preclude the following: 1) the possibility of exchange of information (e.g. explanations of findings or clarifying requirements) between the certification body and its clients; 2) the use, installing and maintaining of certified products which are necessary for the operations of the certification body. NOTE 2 "Management system consultancy" is defined in ISO/IEC 17021:2011, definition 3.3.		

Clause	Requirement	GCT Action	Risk Level
4.2.7	The certification body shall ensure that activities of separate legal entities, with which the certification body or the legal entity of which it forms a part has relationships, do not compromise the impartiality of its certification activities. NOTE See 4.2.3, Note 1.		
4.2.8	When the separate legal entity in 4.2.7 offers, or produces the certified product (including products to be certified) or offers or provides consultancy (see 3.2), the certification body's management personnel and personnel in the review and certification decision-making process shall not be involved in the activities of the separate legal entity. The personnel of the separate legal entity shall not be involved in the management of the certification body, the review, or the certification decision. NOTE: For the evaluation personnel, impartiality requirements are stipulated in Clause 6 and additional requirements are given in the other relevant International Standards cited in 6.2.1 and 6.2.2.1.		
4.2.9	The certification body's activities shall not be marketed or offered as linked with the activities of an organization that provides consultancy (see 3.2). A certification body shall not state or imply that certification would be simpler, easier, faster or less expensive if a specified consultancy organization were used.		

Clause	Requirement	GCT Action	Risk Level
4.2.10	Within a period specified by the certification body, personnel shall not be used to review or make a certification decision for a product for which they have provided consultancy (see 3.2). NOTE 1: The period can be specified in the certification scheme or, if specified by the certification body, it reflects a period that is long enough to ensure that the review or decision does not compromise impartiality. A specified period of two years is often used. NOTE 2: For the evaluation personnel, impartiality requirements are stipulated in Clause 6 and additional requirements are given in the other relevant International Standards cited in 6.2.1 and 6.2.2.1.		
4.2.11	The certification body shall take action to respond to any risks to its impartiality, arising from the actions of other persons, bodies or organizations, of which it becomes aware.		
4.2.12	All certification body personnel (either internal or external) or committees who could influence the certification activities shall act impartially.		

31.0 Data Integrity

31.1. PURPOSE

The purpose of the Data Integrity Procedure is to develop a proactive program for the prevention and detection of improper, unethical, or illegal actions, to emphasize the importance of ethics in the performance of all analytical work, and to obtain the commitment of laboratory staff to the principle that all analyses shall be performed in a controlled and documented manner.

31.2. POLICY

All Quality Procedures are written to comply with Gulf Coast Testing policy established in the Quality Manual section and conformity to ISO/IEC 17065, ISO/IEC 17025, and ISO/IEC 17020.

31.3. APPLICATION

The process of data integrity is under the responsibility of the QA/QC Manager.

31.4. DEFINITIONS

Data Integrity - Data that has been produced to the ethical and legal standards of the regulatory agencies and the wastewater industry, which is traceable and defensible.

Data Integrity Program - A system which combines technical and ethics training with active procedures designed to prevent unethical laboratory practices.

31.5. REFERENCES

N/A

31.6. PROCEDURES

31.6.1. Ethics Training

Ethics training is a required part of new employee orientation and is provided on an annual basis for all laboratory managers and staff by the GCT Program Manager. Initial training during orientation includes the overall organizational mission and its relationship to the absolute need for honesty and full disclosure in all analytical reporting and record-keeping.

The initial orientation is followed-up by the QA/QC Manager with the specifics of GCT's data integrity plan. Quality is reviewed with respect to proper

procedure, data qualifiers, and adequacy of record keeping. The QA/QC Manager will disclose that reports and the data generated to support them are subject to routine in-depth review.

The consequences to an employee found to be in violation of the data integrity plan may result in immediate termination, and/or civil/criminal prosecution. GCT's response to infractions of the data integrity plan will be discussed and employees shall understand that infractions will be investigated in a detailed way. Employee attendance will be documented in the training manual.

31.6.2. Data Integrity and Ethics Agreement

Following initial ethics training and on-going annual training for laboratory managers and staff, all GCT employees shall sign a written ethics agreement. The agreement states that the signers will not engage in any unethical practices with respect to data integrity nor will they tolerate improper behavior in others if it is observed or suspected. By signing, GCT employees acknowledge their duties in upholding the spirit and intent of the data integrity system and in effectively implementing the specific requirements of the plan.

31.6.3. Documentation

All data integrity incidents must be documented, including investigative findings and disciplinary actions. Corrective actions are recorded. If client disclosure is determined to be necessary by the Program Manager, then such disclosures and outcomes are recorded.

All data integrity documents, plans, personal records and records of investigations shall be maintained for a period of five years. Documents are subject to GCT's Document Control and Retention Procedure.

31.6.4. Confidentiality

The QA/QC Manager shall assure confidentiality and a receptive environment in which to privately discuss personal ethical dilemmas with staff or observed unethical practices by other members of the staff. In the event the QA/QC Manager determines the conduct of the lab employee compromises the integrity of the GCT laboratory, the QA/QC Manager shall immediately notify the Program Manager.

31.6.5. Data Integrity for Management

In the event management does not follow data integrity in GCT's scheme, employees shall take independent action to preserve data integrity while respecting the client's right to confidentiality. Such independent may include, but is not limited to, reporting to other management, regulators, auditors, and

accreditors. Additionally, an input from management in conflict with the data integrity requirements of this procedure shall not be followed.

31.7. TECHNICAL AIDS

QF013.Data Integrity and Ethics Agreement

31.8. EXPLANATORY NOTE

NA

GCT GULF COAST TESTING, LLC

ETHICS AND DATA INTEGRITY AGREEMENT

I understand the high ethical standards required of me with regard to the duties I perform and the data I report in connection with my employment at Gulf Coast Testing, LLC.

I have received formal instruction on the code of ethics that has been adapted by Gulf Coast Testing, LLC and agree to comply with these requirements.

I have received formal instruction on the elements of Gulf Coast Testing, LLC's Data Integrity Policy and have been informed of the following specific procedures:

Formal procedures for the confidential reporting of data integrity issues are available which can be used by any employee.

A data integrity investigation is conducted when data issues are identified that may negatively impact data integrity.

Routine data integrity monitoring is conducted on sample data, which may include an evaluation of the data I produce.

I am aware that data fraud is a punishable crime that may include fines and/or imprisonment upon conviction.

I also agree to the following:

I shall not intentionally report data values, which are not the actual values observed or measured.

I shall not intentionally modify data values unless the modification can be technically justified through a measurable analytical process.

I shall not intentionally report dates and times of data analysis that are not the true and actual times the data analysis was conducted.

I shall not condone any accidental or intentional reporting of inauthentic data by other employees and immediately report it's occurrence to my superiors.

I shall immediately report any accidental reporting of inauthentic data by myself to my superiors.

_____ _____

Signature of Employee/Consultant Date

_____ _____

Signature of Program Manager Date

32. MANAGEMENT OF COMPETENCIES

32.1. PURPOSE

This section describes the policy for establishing, implementing, and maintaining the competencies of personnel involved in the GCT certification process including but not limited to GCT's Quality Procedures, ISO/IEC 17065, and ISO/IEC 17025. This Standard Operating Procedure applies to all GCT employees.

32.2. POLICY

All Quality Procedures are written to comply with Gulf Coast Testing policy established in the Quality Manual section and conformity to ISO/IEC 17065 and ISO/IEC 17025.

32.3. APPLICATION

The process of managing competencies is under the responsibility of the Deputy Program Manager. The Deputy Program Manager is responsible for GCT's training activities. Additionally, the Deputy Program Manager is responsible for raising the awareness of employees to increase their understanding of Quality Management System issues and the relevance of those issues to GCT's certification activities.

32.4. DEFINITIONS

Competency Training – the training of employees to enable them to fulfil their duties in a competent manner and consistent with the aims of GCT Certification Policy, and management systems

Awareness Training – raising the certification awareness of employees to increase their understanding of certification issues and the relevance of those issues to GCT's activities and services

32.5. REFERENCES

ISO/IEC 17065, Section 6.1.2.1
Standards
GCT Quality SOPs

32.6. PROCEDURES

32.6.1. Determination of Competencies

The Deputy Program Manager shall determine the criteria for the competence of personnel for each function in the certification

process, considering the requirements of the Standards. The criteria for competencies are identified in the Quality Manual.

32.6.2. Identification of Training Needs

The Deputy Program Manager shall identify the training needs of all new and existing personnel within the organization and shall ensure personnel receive training on GCT's certification policies and function of GCT's management systems, particularly ISO/IEC 17065, GCT's Quality Manual, and GCT's Quality Procedures and the potential consequences of departing from those procedures.

32.6.3. Demonstration of Competency

The demonstration of competency shall be documented using GCT Quality Procedure QP25 – Training Procedure.

32.6.4. Authorization of Personnel for Functions in Certification Process

The Deputy Program Manager shall determine and authorize personnel for the various functions in the certification process. The authorizations shall be documented in GCT's Quality Procedures and in GCT's organization chart.

32.6.5. Performance Monitoring

Performance Monitoring shall be documented using GCT Quality Procedure QP25 – Training Procedure.

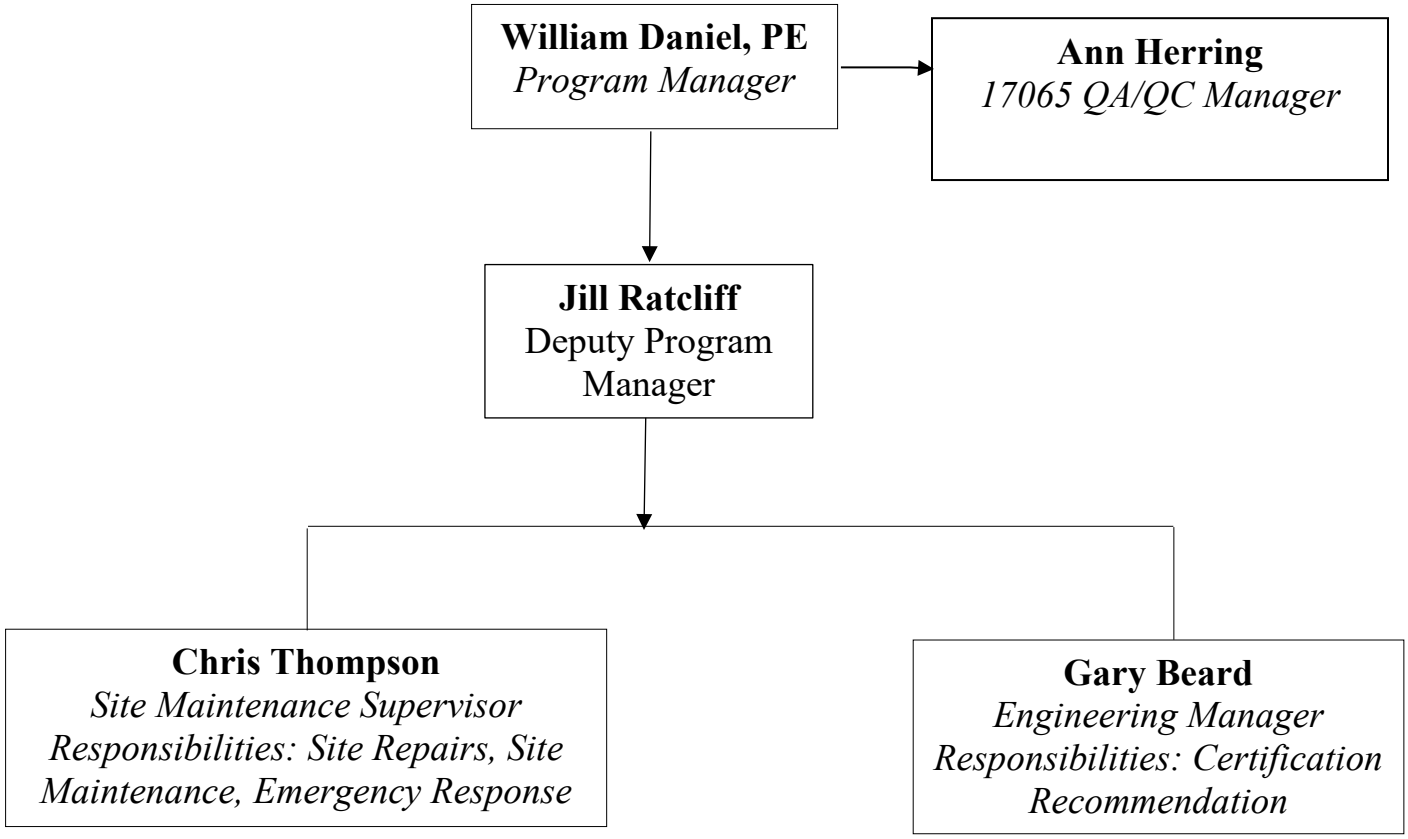
32.7. TECHNICAL AIDS

QF002.Organization Chart
QF003.Job Descriptions
QF006.Annual Employee Performance Evaluation

32.8. EXPLANATORY NOTE

N/A

GCT, LLC
Organizational Chart



33.0 SAMPLE COLLECTION AND PROCESSING

33.1.0 PURPOSE

This section describes the activities for sample collection by GCT employees.

33.2.0 POLICY

All Quality Procedures are written to comply with Gulf Coast Testing policy established in the Quality Manual section and conformity to ISO/IEC 17065 and ISO/IEC 17025.

33.3.0 APPLICATION

This section is performed by the Deputy Program Manager.

33.4.0 DEFINITION

N/A

33.5.0 REFERENCES

N/A

33.6.0 PROCEDURES

33.6.1 Sample Collection

33.6.1.1 Composite Samples

Influent and Effluent composite samples shall be collected at the intervals required by the Standards. The samples shall be collected by or under the under the supervision of GCT personnel. Samples will be in appropriate containers as designated by GCT's contract laboratory. The samples shall be recorded on the GCT Daily Sample Log by GCT personnel. Samples will be labeled appropriately and shall be accompanied by Chains of Custody.

The temperature of the composite samples in the refrigerator shall be 4°C +/-1°C. In the event the temperature is not within limits, the sample log will be noted as such and the actual temperature recorded.

33.6.1.2 Grab Samples

Influent and Effluent grab samples shall be collected at the intervals required by the Standards. The samples shall be collected by or the under the supervision of GCT personnel. The samples shall be recorded on the GCT Daily Sample log by GCT personnel. GCT personnel shall take temperature, pH, and Dissolved Oxygen measurements and record the measurements into the GCT Daily Sample Log under the supervision of GCT personnel.

33.7.0 TECHNICAL AIDS

QF303.Daily Sample Log

33.8.0 EXPLANATORY NOTE

N/A

GULF COAST TESTING, LLC

Daily Sample Log

Date: **XXX xx/xx/xxxx**

Technician	Sample ID No.	Sample Location	Sub Location	Sample Type (G or C)	Date & Time Sample Collected / Analysis Time (If Applicable)	Sample Volume (mL)	Composite Temperature (°C)	Analyzed By	Analysis	Chain of Custody Date and Time Relinquished	DO	Temperature (°C)	pH	SS
	XXXXXX00				xx/xx/xxxx									
	XXXXXX01				xx/xx/xxxx									
	XXXXXX02				xx/xx/xxxx									
	XXXXXX03				xx/xx/xxxx									
	XXXXXX04				xx/xx/xxxx									
	XXXXXX05				xx/xx/xxxx									
	XXXXXX06				xx/xx/xxxx									
	XXXXXX07				xx/xx/xxxx									
	XXXXXX08				xx/xx/xxxx									
	XXXXXX09				xx/xx/xxxx									
	XXXXXX10				xx/xx/xxxx									
	XXXXXX11				xx/xx/xxxx									
	XXXXXX12				xx/xx/xxxx									
	XXXXXX13				xx/xx/xxxx									
	XXXXXX14				xx/xx/xxxx									
	XXXXXX15				xx/xx/xxxx									
	XXXXXX16				xx/xx/xxxx									
	XXXXXX17				xx/xx/xxxx									
	XXXXXX18				xx/xx/xxxx									
	XXXXXX19				xx/xx/xxxx									
	XXXXXX20				xx/xx/xxxx									

34.0 CALIBRATION PROCEDURE

34.1.0 PURPOSE

This section describes the activities for calibration of GCT equipment.

34.2.0 POLICY

All Quality Procedures are written to comply with Gulf Coast Testing policy established in the Quality Manual section and conformity to ISO/IEC 17065 and ISO/IEC 17025.

34.3.0 APPLICATION

This section is performed by the Deputy Program Manager.

34.4.0 DEFINITIONS

N/A

34.5.0 REFERENCES

N/A

34.6.0 PROCEDURES

34.6.1 Liquid Glass Thermometers

34.6.1.1 All thermometers are calibrated using a NIST traceable thermometer. Record the model number and calibration dates on the Thermometer Calibration Log, QF405.

34.6.1.1 Ensure all thermometers are labeled with a thermometer specific identification number. Record the thermometer identification number on the Thermometer Calibration Log, QF405.

34.6.1.2 Place the NIST certified thermometer and all laboratory liquid glass thermometers (refrigerator) in a beaker of ice water.

34.6.1.3 Ensure no thermometers are touching each other during or resting on the bottom of the beaker during the calibration. Allow all thermometers to equilibrate for a minimum of 20 minutes.

34.6.1.4 Following equilibration, record all thermometer readings to the nearest whole degree (^{o}C) in the Thermometer Calibration Log.

34.6.1.5 Should a thermometer reading be more or less than the desired reading, the thermometer will be assigned a correction factor.

NOTE: If the correction factor is more than +/- 2 ^{o}C, the thermometer will be taken out of service and disposed of properly.

34.6.2 Dosing Can Volumes

34.6.2.1 Using a 1-gallon polypropylene beaker measure five (5) gallons into the dosing can.

34.6.2.2 Note the top of the liquid level in relation to the drainpipe. The five gallons should come up to the top of the PVC drainpipe located inside the bucket. If the five-gallon test volume matches the PVC drainpipe in the dosing can, record the result in the GCT Calibration Logbook.

34.6.2.3 If the five-gallon test volume does not match the PVC drainpipe in the dosing can, make the necessary adjustments to the length of the PVC drainpipe. Record the adjustment in the Dosing Can Calibration Log, QF411.

34.6.2.4 Repeat 34.6.2.1 through 36.2.4 for each test site dosing can.

34.6.3 Sper Scientific Sound Meter

34.6.3.1 Use Sper Scientific Acoustical Calibrator 850016 to calibrate the meter. Perform the calibration at temperatures between 15~25°C. The calibrator and meter should be at the same temperature. Record the temperature on the calibration log.

34.6.3.2 Remove the WINDSCREEN and turn on the meter by pressing the POWER button.

34.6.3.3 Turn the acoustical calibrator on to 94.0 dB and place it onto the MICROPHONE.

34.6.3.4 With the meter in FAST response mode and A (dBA) weighting, press and hold the A/C button.

34.6.3.5 Without releasing the A/C button, press and hold the HOLD button. The display will go blank.

34.6.3.6 Release both buttons and sound volume is displayed.

34.6.3.7 Repeat the calibration process until the meter reads the "94.0" ± 0.2.

34.6.3.8 Record the results in Quality Form QF415.

34.7.0 TECHNICAL AIDS

QF405.Thermometer Calibration Log
QF411.Dosing Can Calibration Log
QF415.Sound Meter Calibration Log
Sper Scientific Manual

34.8.0 EXPLANATORY NOTE

N/A

35.0 OILY FILM AND FOAM PROCEDURE

35.1.0 PURPOSE

This section describes the activities to record oily film and foam.

35.2.0 POLICY

All Quality Procedures are written to comply with Gulf Coast Testing policy established in the Quality Manual section and conformity to ISO/IEC 17065 and ISO/IEC 17025.

35.3.0 APPLICATION

This section is performed by the Deputy Program Manager.

35.4.0 DEFINITIONS

N/A

35.5.0 REFERENCES

N/A

35.6.0 PROCEDURES

35.6.1 Visually check the sample for oily film on surface.

35.6.2 Collect a sample in a collection jar. Shake jar and visually check for foam.

35.6.3 Record the findings on the Oily Film Analytical Data Record.

35.7.0 TECHNICAL AIDS

QF344.Oily Film and Foam

35.8.0 EXPLANATORY NOTE

N/A

36.0 ODOR PROCEDURE

36.1.0 PURPOSE

This section describes the activities to record odor.

36.2.0 POLICY

All Quality Procedures are written to comply with Gulf Coast Testing policy established in the Quality Manual section and conformity to ISO/IEC 17065 and ISO/IEC 17025.

36.3.0 APPLICATION

This section is performed by the Deputy Program Manager.

36.4.0 DEFINITIONS

N/A

36.5.0 REFERENCES

N/A

36.6.0 PROCEDURES

36.6.1 Fill a glass sample jar with DI water (the DI blank).

36.6.2 Collect a sample in a glass sample jar.

36.6.3 Have a panel of four people compare the sample to the DI blank.

36.6.4 Record the findings on the Odor Analytical Data Record.

36.7.0 TECHNICAL AIDS

QF343.Odor Recording Log

36.8.0 EXPLANATORY NOTE

N/A

GULF COAST TESTING, LLC

Analytical Data Record
Odor

Date Analyzed		Deputy Program Manager	

Sample Location	Sub-Location	Sample Date	Offensive	Non-Offensive	Odor Analyst	Odor Analyst Initials
			☐	☐		
			☐	☐		
			☐	☐		
			☐	☐		

Comments _____

_____

_____

37.0 FAILURE SENSING DEVICE PROCEDURE

37.1.0 PURPOSE

This section describes the activities to record the ability of the system to possess a mechanism or process capable of detecting failures of electrical and mechanical components critical to the treatment processes, including a high-water signal, and delivering a visible and audible signal to notify the owner or user of the failure.

37.2.0 POLICY

All Quality Procedures are written to comply with Gulf Coast Testing policy established in the Quality Manual section and conformity to ISO/IEC 17065 and ISO/IEC 17025.

37.3.0 APPLICATION

This section is performed by the Deputy Program Manager.

37.4.0 DEFINITIONS

N/A

37.5.0 REFERENCES

N/A

37.6.0 PROCEDURES

The Deputy Program Manager shall select three GCT observers.

37.6.1 Visual Alarm Test

37.6.1.1 Disable the audio portion of the alarm.

37.6.1.2 The three observers shall stand 49 feet from the alarm and turn their backs to the alarm such that they cannot see the visual portion of the alarm.

37.6.1.3 The Deputy Program Manager shall randomly select an off or on condition.

37.6.1.4 The Deputy Program Manager shall instruct the observers to face the alarm and ask them to determine if the alarm is on or off.

37.6.1.5 The Deputy Program Manager will then record the responses on GCT Quality Form QF038.

37.6.1.6 Repeat steps 37.6.1.2 through 37.6.1.5 two additional times ensuring that the alarm is off and on at least once during the test.

37.6.2 Audible Alarm Test

37.6.2.1 Three observers shall stand 49 feet from the alarm and turn their backs to the alarm such that they cannot see the visual portion of the alarm.

37.6.2.2 Calibrate the Sper Scientific Sound Meter Model 850014 pursuant to QP34, the GCT Calibration Procedure. Measure the ambient noise level where the observers are standing. If the ambient noise level is below 60 dbA, augment the ambient noise with a steady tone between 100 and 1000 Hz.

37.6.2.3 Disable the visual portion of the alarm.

37.6.2.4 The Deputy Program Manager shall randomly select an off or on condition.

37.6.2.5 The Deputy Program Manager shall instruct the observers to face the alarm and ask them to determine if the alarm is on or off.

37.6.2.6 The Deputy Program Manager shall record the responses on GCT Quality Form QF038.

37.6.2.7 Repeat steps 37.6.2.2 through 37.6.2.5 two additional times ensuring that the alarm is off and on at least once during the test.

37.6.2.8 The Deputy Program Manager shall then place the alarm at a distance of 25 feet away from any permanent structure. Using the Sper Scientific Sound Meter, the Deputy Program Manager shall measure the audible portion of the alarm at a distance of 10 feet. The results shall then be recorded on GCT Quality Form QF038.

37.7.0 TECHNICAL AIDS

Sper Scientific Sound Meter Model 850014 Manual

37.8.0 EXPLANATORY NOTE

N/A

GCT GULF COAST TESTING, LLC

Thermometer Calibration Log

Date	Employee Initials	Thermometer Type	Serial Number GCT Identification	Observed Temperature °C	*Correction Factor (Thermometer must be with +/-2 °C)
		NIST Traceable			
		GCT Thermometer			
Description of Calibration					
*Correction factor for the thermometer being calibrated is calculated by subtracting its observed temperature from true temperature of NIST Thermometer					

Date	Employee Initials	Thermometer Type	Serial Number GCT Identification	Observed Temperature °C	*Correction Factor (Thermometer must be with +/-2 °C)
		NIST Traceable			
		GCT Thermometer			
Description of Calibration					
*Correction factor for the thermometer being calibrated is calculated by subtracting its observed temperature from true temperature of NIST Thermometer					

Date	Employee Initials	Thermometer Type	Serial Number GCT Identification	Observed Temperature °C	*Correction Factor (Thermometer must be with +/-2 °C)
		NIST Traceable			
		GCT Thermometer			
Description of Calibration					
*Correction factor for the thermometer being calibrated is calculated by subtracting its observed temperature from true temperature of NIST Thermometer					

Date	Employee Initials	Thermometer Type	Serial Number GCT Identification	Observed Temperature °C	*Correction Factor (Thermometer must be with +/-2 °C)
		NIST Traceable			
		GCT Thermometer			
Description of Calibration					
*Correction factor for the thermometer being calibrated is calculated by subtracting its observed temperature from true temperature of NIST Thermometer					

GULF COAST TESTING, LLC

Dose Can Calibration Log

Measuring Device	128 ounce Accu-Pour Polypropylene Measuring Pitcher			Date	
Test Site Location	**Required Volume gallons**	**Measured Volume gallons**	**Corrective Action**		**Employee Initials**
A1	5				
A2	**5**				
A3	**5**				
A4	**5**				
A5	**5**				
A6	**5**				
B1	**5**				
B2	**5**				
B3	**5**				
B4	**5**				
B5	**5**				
B6	**5**				
Comments:					

GULF COAST TESTING, LLC

Sound Meter Calibration Log

Date	SPE Number	Test Site Location	Temp, °C (15-25°C)	Measured Sound, dBA	Actual Sound, dBA	Corrective Action	GCT Employee
					94.0 dB		
					94.0 dB		
					94.0 dB		
					94.0 dB		
					94.0 dB		
					94.0 dB		
					94.0 dB		
					94.0 dB		
					94.0 dB		
					94.0 dB		
					94.0 dB		
					94.0 dB		
					94.0 dB		
					94.0 dB		
					94.0 dB		
					94.0 dB		
					94.0 dB		
					94.0 dB		
					94.0 dB		
					94.0 dB		
					94.0 dB		
					94.0 dB		
					94.0 dB		
					94.0 dB		
					94.0 dB		
					94.0 dB		

Mini Sound Meter

850014

Instruction Manual

SPER SCIENTIFIC

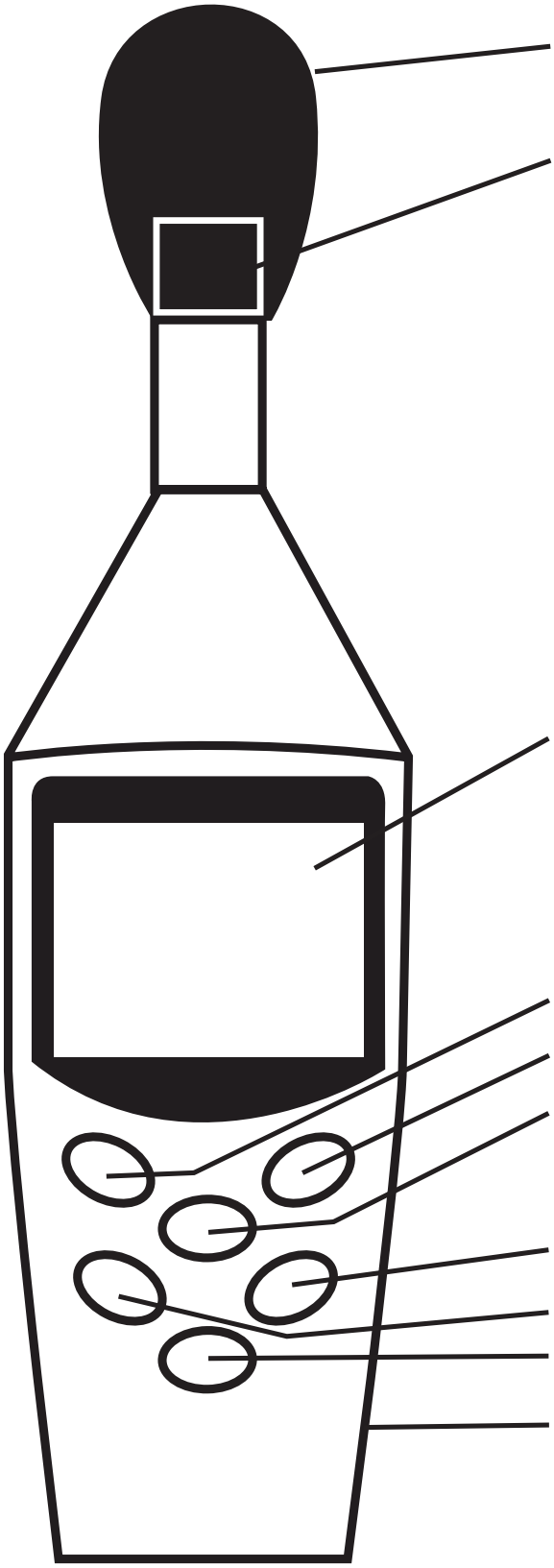
Environmental Measurement Instruments

TABLE OF CONTENTS

1. INTRODUCTION

This lightweight and compact unit features 1/2" Electret condenser microphone, A and a C decibel frequency weighting scales, fast or slow response time weightings, max/min, hold and a backlight. Includes a windscreen, instructions, and a 9V battery. CE rated.

2. PANEL DESCRIPTION



1.Windscreen

2. Microphone (remove windscreen to expose the microphone tip)

3. LCD Display

4. A/C weighting
5. Hold
6. Fast/Slow response
7. Backlight
8. Max/Min
9. Power
10. Battery Compartment (on back)

3. OPERATING INSTRUCTIONS

Keep the microphone dry and avoid strong vibrations. Use the **WINDSCREEN** at wind speeds over 10m/sec.

3-A. MEASURING PROCEDURE

- Turn the meter on by pressing the **POWER** button. The meter defaults to the A frequency and FAST response.
- Press the **A/C** button to toggle between frequency scales. The A scale is shown as “dBA” and the C scale is shown as “dBC”. Select the A scale to simulate the human ear’s response. A is generally used for environmental measurements. The C scale approximates a flat response and is typically used to measure low-frequency machinery noise where the target sound level is already known.
- Press the **FAST/SLOW** button to toggle between response-time scales. Select FAST for general applications and SLOW to check the avg. level of fluctuating noise, like machinery.
- Point the **MICROPHONE** at the sound source. The decibel level is displayed.
- Press the **BACKLIGHT** button to turn on/off the illuminated display. The backlight automatically turns off after 15 seconds.
- Press the **POWER** button to turn the meter off.

3-B. HOLD FUNCTION

With the meter on, press the **HOLD** button to display “HOLD” and the last dB reading. Press **HOLD** again to exit this function.

3-C. MAX/MIN FUNCTION

The Max/Min dB readings are continually updated as soon as you enter the Min/Max function. These readings are reset when you exit the Max/Min function, or when the meter is turned off.

- With the meter on, press the **MAX/MIN** button once to display “MIN” and the minimum recorded dB level. The display will be updated when there is a lower dB reading.
- Press the **MAX/MIN** button again to display “MAX” and the maximum (peak) recorded dB level. The display will be updated only when the max (peak) dB level is exceeded.
- To exit this function, press and hold the **MAX/MIN** button for at least 2 seconds, then release. The current dB reading is displayed.

NOTE: When the meter is first turned on, there may be a dB “spike” that could influence the maximum (peak) reading. To ensure accuracy, enter and exit the MAX/MIN function once to reset the recorded dB levels.

3-D. CALIBRATION

Use Sper Scientific Acoustical Calibrator 850016 (or equivalent) to calibrate the meter. Perform the calibration at temperatures between 58-78°F (15-25°C). The calibrator and meter should be at the same temperature.

- Remove the **WINDSCREEN** and turn on the meter by pressing the **POWER** button.
- Turn the acoustical calibrator on to 94.0 dB and place it onto the **MICROPHONE**.
- With the meter in FAST response mode and A (dBA) weighting, press and hold the **A/C** button.
- Without releasing the **A/C** button, press and hold the **HOLD** button. The display will go blank.
- Release both buttons and “94.0” ± 0.2 is displayed.
- The calibration process can be repeated until the meter reads the desired value.
- This completes the calibration process.

4. AUTO POWER OFF

If no buttons are pushed for about 3 minutes, the meter will automatically turn off.

Published 10/01/2023
Replaces All Previous Versions

5. BATTERY REPLACEMENT

- Turn off the meter when the low battery icon is displayed.
- Slide **BATTERY COMPARTMENT** cover down to install a fresh 9V battery.
- Replace the cover.
- Expected battery life is about 50 hrs.

6. SPECIFICATIONS

Display	3/4” high digits, 4-digit LCD, display updates every 0.5 seconds.
Range	dynamic range: 50dB auto-ranging: 30-130d B A (dBA) weighting: 30-130dB C (dBC) weighting: 35-130dB
Resolution	0.1dB
Accuracy	±1.5dB
Frequency	31.5 HZ - 8KHZ
Response	Fast = 125mS, Slow =1 sec
Operating Environ.	41-104°F (5-40°C) <80% RH & up to 2000m above sea level
Storage Environ.	13-140°F (-10°C-60°C) & < 70%RH
Weight & Dimension	6 oz (170 g) 8" x 2⅛" x 1½”, 200 x 55 x 38 mm

7. OPTIONAL ACCESSORIES

850016 Acoustical Calibrator
840091 Windscreen
850000 Rubber Boot

8. WARRANTY

Sper Scientific warrants this product against defects in materials and workmanship for **five (5) years** from the date of purchase, and agrees to repair or replace any defective unit without charge. If your model has since been discontinued, an equivalent Sper Scientific product will be substituted if available. This warranty does not cover damage resulting from accident, misuse, or abuse of the product.

To obtain warranty service, ship the unit postage prepaid to:

SPER SCIENTIFIC LTD.
8281 East Evans Road, Suite #103
Scottsdale, AZ 85260

The defective unit must be accompanied by a description of the problem and your return address. Register your product online at www.sperwarranty.com within 10 days of purchase.

38.0 AERATOR TESTING

38.1.0 PURPOSE

This section describes the activities for the measurement of air pressure and air volume of an aerator pursuant to the Standards.

38.2.0 POLICY

All Quality Procedures are written to comply with Gulf Coast Testing policy established in the Quality Manual section and conformity to ISO/IEC 17065 and ISO/IEC 17025.

38.3.0 APPLICATION

This section is performed by the Deputy Program Manager.

38.4.0 DEFINITIONS

N/A

38.5.0 REFERENCES

Standards, Section 5.11, 8.1.8, 8.1.9, and 8.1.10

38.6.0 PROCEDURE

38.6.1 Prior to initiation of design loading, the air delivery component, the air compressor, or blower,. shall be connected to the system and run for a minimum of 4 hours.

38.6.2 The air pressure shall be measured by a pressure gauge installed near the exhaust port of the air compressor or blower. Record the pressure on GCT Quality Form QF040, Aerator Testing.

NOTE: When it is not possible to measure pressure on the system under test, the measurement may be completed with a separate air delivery component plumbed to a different tank. All plumbing and air distribution components used in the tested system shall be installed with the air delivery component. Potable water or wastewater shall be used. Air distribution outlets or diffusers shall be located at the same depth as in the tested system. The air delivery component shall be run for a minimum of 4 h. Air pressure shall be measured by a pressure gauge installed near the exhaust port of the air delivery component and that reading recorded.

38.6.3 Following the pressure measurement, the air compressor blower shall be plumbed into the Aerator Tester. Adjust the backpressure to the pressure measured in Section 38.6.2 and run the air compressor or blower for a minimum of 4 hours. After the 4-hour minimum run time, ensure the backpressure matches the pressure in Section 38.6.2 and make any necessary adjustments.

38.6.4 Record the air volume on GCT Quality Form QF040, Aerator Testing.

38.7.0 TECHNICAL AIDS

QF040.Aerator Testing
QF041.GCT Aerator Testing Device Schematic

38.8.0 EXPLANATORY NOTE

N/A

Aerator Testing Form

GULF COAST TESTING, LLC

Date		SPE Number	

Test Site Representative	

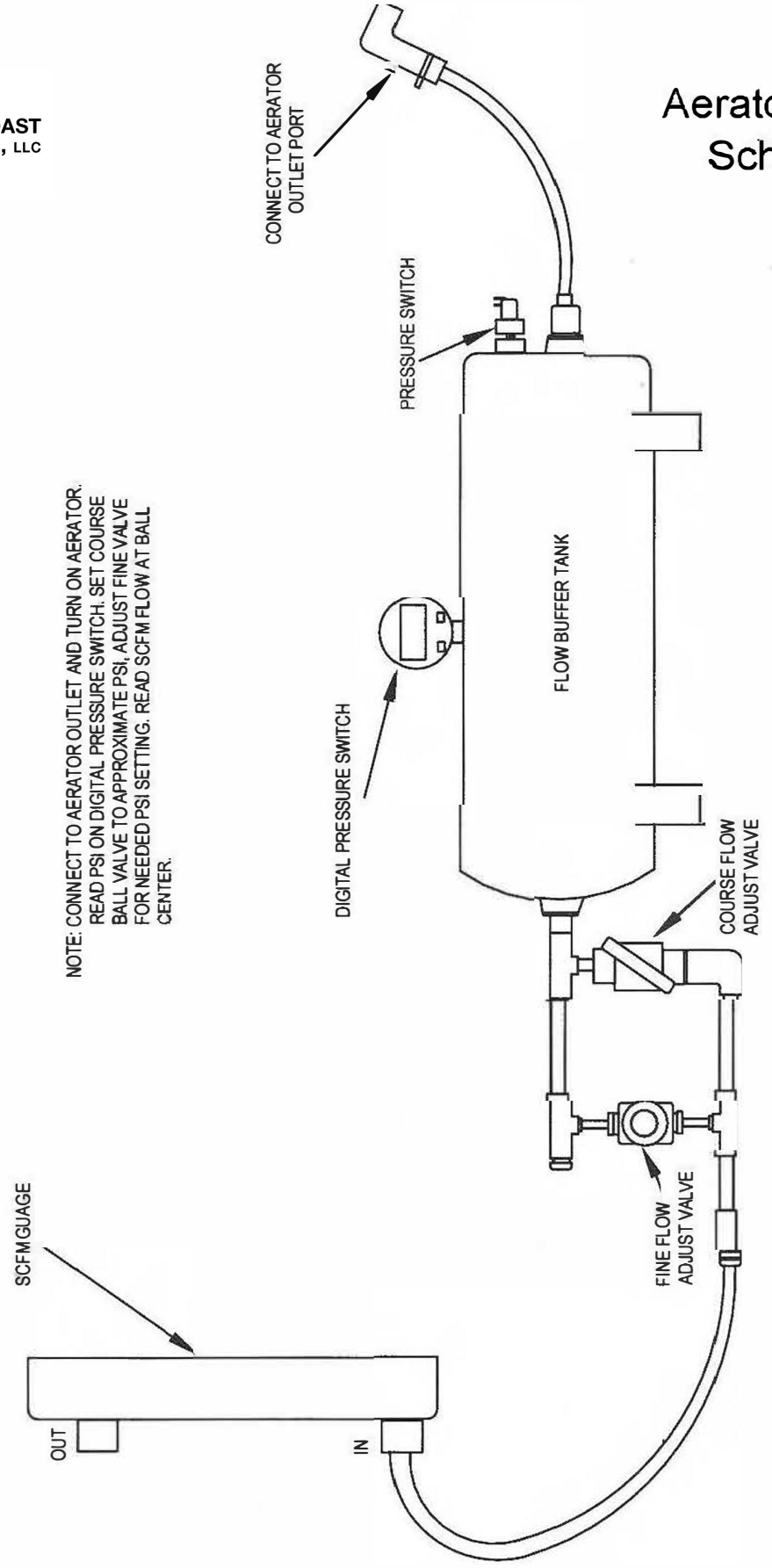
Plant Manufacturer		Model		Location	

Aerator Manufactuer	Aerator Model	Time Device Installed on Aerator	Time Pressured Measured	Hours Connected Prior to Measurement	Pressure PSI	Flow Rate SCFM

Notes

GULF COAST TESTING, LLC

Aerator Testing Schematic



39.0 WASTEWATER TREATMENT SYSTEM SCALING

39.1.0 PURPOSE

This section describes the activities for scaling up wastewater treatment systems.

39.2.0 POLICY

All Quality Procedures are written to comply with Gulf Coast Testing policy established in the Quality Manual section and conformity to ISO/IEC 17065 and ISO/IEC 17039.

39.3.0 APPLICATION

This section is performed by the Engineering Manager and the Program Manager.

39.4.0 DEFINITIONS

N/A

39.5.0 REFERENCES

Standard 40 – Normative Annex 1, Section N-1.2

39.6.0 PROCEDURES

39.6.1 Upon receipt of a request for scale-up, the Deputy Program Manager starts the evaluation process using Quality Procedure QP07 – Evaluation Process.

1. The Deputy Program Manager assembles the following information for the Engineering Manager:

    a. Dimensioned system drawing of model to be scaled-up
    b. New Model name
    c. Full specifications of model to be scale-up
    d. Standard applied for scale-up
    e. Originally tested model

2. The Engineering Manager shall review the treatment process description and drawings, including but not limited to:

    a. Tank Volume and Geometry
    b. Aeration including the diffuser system
    c. Media
    d. Filtration
    e. Circulation
    f. Additives
    g. Membranes
    h. Pumps
    i. Surface Loading Rate

3. Determine if the proposed system is proportional to the originally tested system. Exact proportionality is not required.

    a. Tolerance for aeration is +30% to -10%; Air delivery components with flows lower, or higher, than the stated range of 90 to 130% may be considered for qualification by GCT based on system performance testing.
    b. Tank tolerances are dependent on technology and the results of the originally tested unit. Tank tolerance will be determined on a case-by-case basis and specific rationale will be provided if the tolerance exceeds the limits shown in the table below.

	Activated Sludge	Trickling Filter	Sequencing Batch Reactor	Membrane
Pretreatment	-5 to +50%	-5 to +50%	-5 to +50%	-5 to +50%
Anoxic	-5 to +50%	NA	NA	NA
Aeration	-5 to +10%	NA	NA	NA
Clarification	-5 to +30%	NA	NA	NA
Process Tank	NA	-5 to +30%	-5 to +30%	-5 to +30%

    c. Structural integrity of the tanks will be evaluated and included in the evaluation report. Structural integrity may be demonstrated by:

        i. Professional Engineer Review
        ii. CSA B66
        iii. IAPMO/ANSI Z1000
        iv. IGC 262

4. In the event it is not possible to justify a scale-up on proportionality due to the technology of the manufacturer, a limited testing program may be considered to demonstrate performance to the Standard. A testing plan will be designed and approved in writing by the manufacturer and GCT. At the completion of the testing program, the system will be reevaluated based on the test results.

39.6.2 Report

GCT will prepare a Supplemental SPE Report documenting the approval process and results. The report will contain the following sections:

1. Preface
   The preface contains the Scope of the Standard allowing the modification to the existing unit, any other sections of the Standard applicable to the evaluation. The Preface also contains the family of models of the proposed scale-up and references the originally tested model SPE Report
2. Signed and Dated Certification Certificate
3. Proposed Change
4. Description of the Tested System
5. History of the Tested System
6. Tank Design Analysis with compartment geometry and sizing
7. Aeration Capability

8. Conclusion

39.7.0 TECHNICAL AIDS

N/A

39.8.0 EXPLANATORY NOTE

N/A

40.0 DAILY PROCEDURES

40.1.0 PURPOSE

This section describes the activities for the daily procedures done at the GCT wastewater test site.

40.2.0 POLICY

All Quality Procedures are written to comply with Gulf Coast Testing policy established in the Quality Manual section and conformity to ISO/IEC 17065 and ISO/IEC 17025.

40.3.0 APPLICATION

This section is performed by the Deputy Program Manager.

40.4.0 DEFINITIONS

N/A

40.5.0 REFERENCES

N/A

40.6.0 PROCEDURES

40.6.1 Entering the Facility

1. Environment Check

    a. Confirm gate is secure
    b. Confirm power is on at site
    c. Check for evidence of tampering at fences or gate
    d. Gather rainfall and ambient temperature data.
    e. Record information in Daily Log.

2. Equipment Check

    a. Influent Tank Check
    b. Power to dosing panels
    c. Sewer Return Tank
    d. Refrigerators at test locations functioning and at appropriate temperature
    e. Record the information in the Daily Log and Sewage Dosage Measurement Spreadsheet

3. Exiting the facility

    a. Ensure samples are properly stored
    b. Lock building doors
    c. Lock storage building doors

d. Lock test site gate

40.7.0 TECHNICAL AIDS

QF301.Daily Log

40.8.0 EXPLANATORY NOTE

N/A

GCT GULF COAST TESTING, LLC

Analytical Data Record
Daily Log

Date		Day		System Time	
Technician		Rainfall (inches)		Ambient Temperature (°C)	

Item	Status		Comments
Electrical Power	☐ OK	☐ NOT OK	
Gate Secure	☐ OK	☐ NOT OK	
Tampering or Entry	☐ OK	☐ NOT OK	
Influent Delivery Tank Level	☐ OK	☐ NOT OK	
Influent Return Tank Level	☐ OK	☐ NOT OK	
Wet Well Area	☐ OK	☐ NOT OK	
Circulating Pump	☐ OK	☐ NOT OK	

Site	Active (Y/N)	Fill Value	Dose Value	Float Value	*Type Loading
A1					
A2					
A3					
A4					
A5					
A6					
B1					
B2					
B3					
B4					
B5					
B6					

* DL=Design Loading WD=Wash Day WP=Working Parent PF=Power Failure VS=Vacation Stress

Comments _____

41.0 DISTRIBUTION OF LABORATORY DATA

41.1.0 PURPOSE

The primary purpose of the laboratory data distribution procedure is to document and communicate the results of each test carried out by GCT's contract laboratory and/or the results of the performance of the test unit relative to the Standards.

41.2.0 POLICY

All Quality Procedures are written to comply with GCT policy established in the Quality Manual Section with which this section corresponds and ISO/IEC 17065 and ISO 17025.

41.3.0 APPLICATION

This section is to be performed by the Deputy Program Manager.

41.4.0 DEFINITIONS

N/A

41.5.0 REFERENCES

Standards
ISO/IEC 17065
ISO/IEC 17025

41.6.0 PROCEDURES

41.6.0.1 OUTSIDE LABORATORIES' TEST DATA RESULTS

The results of test reports be accurately, clearly, unambiguously reported in accordance with any specific requests by the client.

Each test report shall include the following information:

1. Title of Report
2. Name and Address of the Laboratory
3. Unique Identification of the test report on each page to ensure that each page is recognized as part of the test report
4. Name and Address of the Customer
5. Identification of the Method Used
6. Unambiguous description, condition, and identification of the sample tested
7. Sampling results
8. Name or equivalent identification of person authorizing the report
9. A statement to the effect that the results only relate to the sample tested
10. The deviations from, additions to, or exclusions from the test method, and information on specific test conditions, such as environmental conditions;
11. Where relevant, a statement of compliance/non-compliance with requirements and/or specifications;

12. Where applicable, a statement on the estimated uncertainty of measurement; information on uncertainty is needed in test reports when it is relevant to the validity or application of the test results, when a customer's instruction so requires, or when the uncertainty affects compliance to a specification limit;
13. A complete chain of custody with the Sample ID as a match in the test report;
14. Additional information which may be required by specific methods, customers or groups of customers.

41.6.0.2 TEST REPORT RECORDS

The following procedure shall be followed for recording the laboratory data:

1. GCT staff will enter the Water Quality Form data into the GCT Master List as the data is collected. GCT staff shall scan the Water Quality Forms into the GCT Cloud Server monthly.
2. GCT staff will then enter the outside laboratory data into the GCT Master List as reports are received. The test reports received from outside laboratories shall be scanned into the GCT Cloud Server on a monthly basis based on the sample collection date.
3. Days for which laboratory data is not collected shall be denoted using the following explanation codes:

    a. a = Weather
    b. b = Lab Problem
    c. c = Test Site Problem
    d. d = Not Required by Standard
    e. e = Not sampled

4. All days on the Master List shall be filled with either data or an explanation code listed above.
5. The Quality Assurance Officer will review the Master List for accuracy using the compiled data.
6. Once the data is transferred to the laboratory database, it cannot be altered except by the Program Manager and then only by retaining the original data and an explanation as to why the data was altered.
7. The Quality Assurance Officer shall forward the weekly inputted data to the Program Manager for review.
8. After the Program Manager reviews the data, the Deputy Program Manager shall distribute the data to the client.

41.6.0.3 DATA DISTRIBUTION

The data is available on GCT’s cloud server to all authorized parties through a password system.

41.6.0.4 DATA RETENTION

The Deputy Manager will retain the data in accordance with Gulf Coast Testing's Record Retention Policy as outlined in the Record and Document Control Procedure.

41.7.0 TECHNICAL AIDS

N/A

41.8.0 EXPLANATORY NOTE

N/A

42.0 AUTOMATED DOSING SYSTEM

42.1.0 PURPOSE

This section describes the GCT automated system to dose the units at the test site. This document describes procedures to be used by GCT field personnel for the automated dosing system.

42.2.0 POLICY

All Quality Procedures are written to comply with Gulf Coast Testing policy established in the Quality Manual and conformity to ISO/IEC 17065.

42.3.0 APPLICATION

The Deputy Program Manager is in charge of the day to day operations of the automated system.

42.4.0 DEFINITIONS

N/A

42.5.0 REFERENCES

Standards

42.6.0 PROCEDURES

The automated system consists of the wet well, the influent tank, the Zoeller Control Panel, the Cox Research Control Systems, the dosing stands, and the test site discharge tank. This equipment, along with the associated pumps and valves, comprise the dosing system. This equipment is critical to the certification process as well as any other tests being performed. The system is completely automated. The systems are designed to dose the units according to the Standards.

42.6.1 Wet Well

The wet well is the start of the automated dosing system. The wet well collects the raw sewage from the subdivision. GCT diverts some of the raw sewage to the GCT influent tank through a two inch plastic line from the wet well to the influent tank. This is accomplished using a Zoeller dual grinder pump system. The two Zoeller grinder pumps are activated by the Zoeller Control Panel at the test site. See the attached Technical Aid labeled Test Site Schematic. The wet well is checked as part of the Daily Field Procedures and its condition noted on the Daily Log Form.

42.6.2 Influent Tank

The influent tank receives the raw sewage from the wet well. The amount of influent in the tanks is controlled by the Zoeller Control Panel using floats located in the influent tank. Four sewage discharge pumps are in the bottom of the discharge tank which distribute the influent to the dosing sites. Pump 1 distributes to sites A1-A3. Pump 2

distributes to sites A4-A6. Pump 3 distributes to sites B1-B3. Pump 4 distributes to sites B4-B6. The influent tank is checked as part of the Daily Field Procedures and its condition noted on the Daily Log Analytical Data Record.

42.6.3 Zoeller Control Panel

The Zoeller Control Panel directly operates the Zoeller grinder pumps in the wet well as a dual system of alternating pumps. First Pump 1 fills the tank. The next time the tank is filled, Pump 2 fills the tank. The pumps are turned on and off by a three float system in the influent tank. When the middle float is activated, the Zoeller Control Panel turns on one of the grinder pumps. When the top float is activated, the Zoeller Control Panel turns off the grinder pump. The bottom float is the emergency float. When the bottom float is activated, the Zoeller Control Panel turns on both pumps and activates an alarm on the control panel.

42.6.4 Cox Research Control Panels

There are five Cox Research control panels in the automatic dosing system. The main panel controls the influent tank pumps. There are four satellite panels which control A1-A3, A4-A6, B1-B3, and B4-B6, respectively. These four control panels control the “Fill” and “Dose” valves located at each unit. The “Fill” and “Dose” allow the units to be properly dosed pursuant to the Standards.

42.6.4.1 Main Panel

The Main Panel controls the four pumps in the influent tank. The pumps are operated according to the requirements of the Standards but can also be operated in manual mode. The pumps operate pursuant to the requirements of the Standard.

42.6.4.2 Satellite Panels

The satellite panels control the Fill and Dose valves for each individual test site. The operator selects the size of the tank and appropriate dosing mode, either Design Loading or Stress Loading. The control panel then operates the valves pursuant to the requirements of the Standard, but the valves can also be operated in manual mode. The valves are also used to circulate the influent tank. When the Fill valves are closed, a circulating valve is open which circulates the influent throughout the tank ensuring the influent is well mixed.

42.6.5 Dosing Stands

The dosing stands are an aluminum structure which holds the dosing can and dose valve. The raw sewage from the influent tank is pumped into the dosing can by the corresponding sewage pump in the influent tank. The pump fills the dosing can located on the top of the dosing stand. Each dosing can is calibrated to hold exactly five gallons. The can has a drainpipe at the five-gallon level, and the excess sewage drains out of the tank through the drainpipe to the discharge tank. The control panel then opens the Dose Valve and the sewage in the dosing can gravity flows into the aerobic treatment unit.

42.6.6 Discharge Tank

The discharge tank is the final component of the Automated Dosing System. The discharge tank receives the raw sewage from the dosing stands and the treated effluent from the units through an underground piping system. There are two pumps in the discharge tank operating on a float system. When the tank level rises, the floats cause the pumps to turn on and pump the raw sewage and treated effluent to the oxidation pond located behind the Gulf Coast Testing, LLC property.

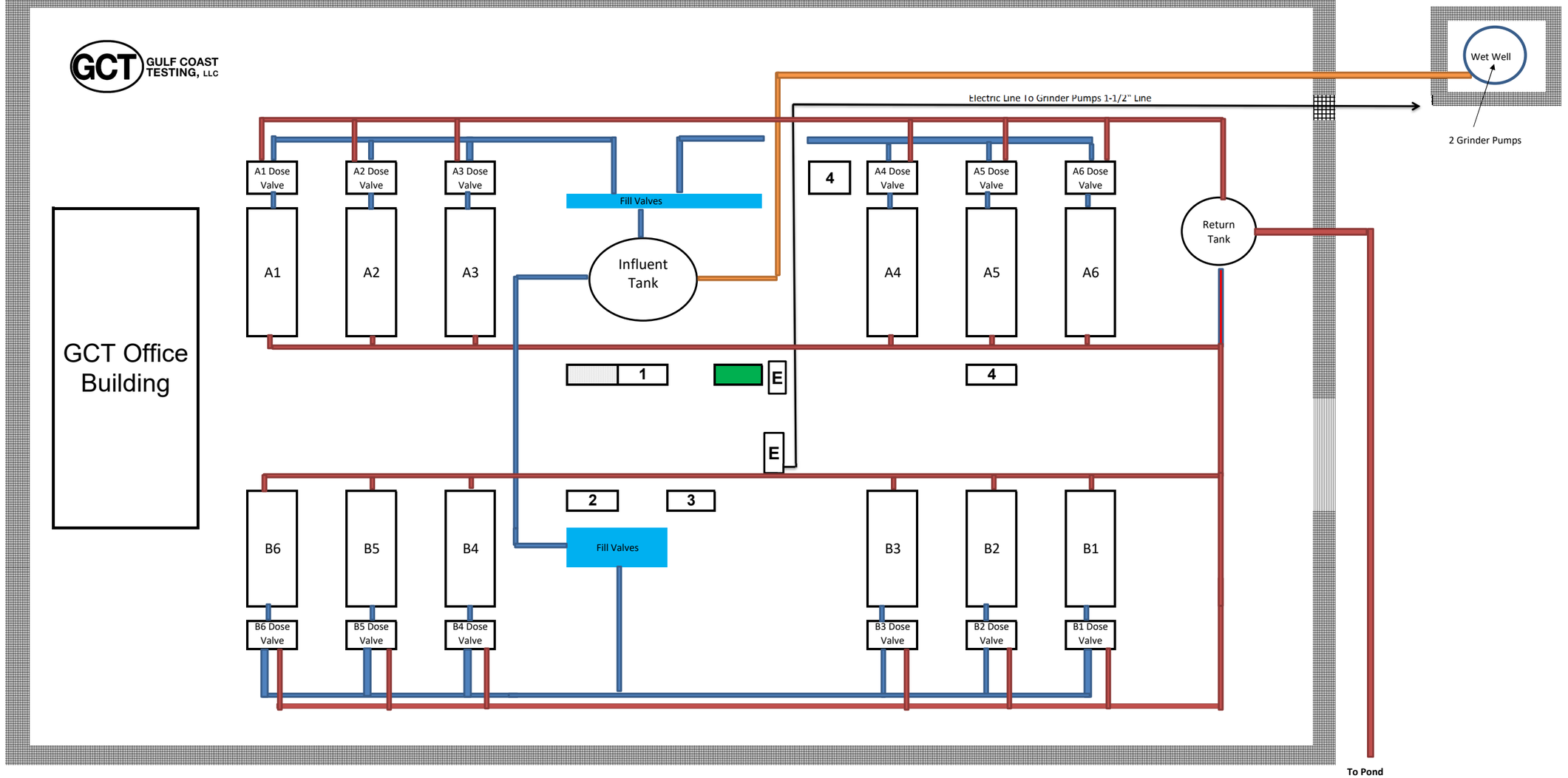
42.7.0 TECHNICAL AIDS

Test Site Schematic

42.8.0 EXPLANATORY NOTE

N/A

GCT GULF COAST TESTING, LLC



Not to Scale

Legend

- Fence
- Influent Line from Wet Well
- Dose Lines
- Effluent & Overflow Return Lines
- Gate
- Main Control Panel
- 1 — Satellite Panels
- Zoeller Control Panel
- E — Electrical Panels

43.0 FLOW TEST MEASUREMENT PROCEDURE

43.1.0 PURPOSE

This section describes the flow measurement test. The flow measurement test consists of measuring a volume of flow through from the unit, usually through the UV light or other disinfectant device. The flow measurement test is conducted to meet certain local, state, and/or federal regulations, specifically the state of Washington. The flow test is also conducted for Client's R&D purposes.

43.2.0 POLICY

All Quality Procedures are written to comply with Gulf Coast Testing policy established in the Quality Manual and conformity to ISO/IEC 17065 and ISO/IEC 17025.

43.3.0 APPLICATION

This procedure is performed by the Deputy Program Manager.

43.4.0 DEFINITIONS

N/A

43.5.0 REFERENCES

Washington Administrative Code On-site Sewage Systems Chapter 246-272A

43.6.0 PROCEDURE

43.6.1 Open the pump tank compartment or access port after the UV light or other disinfectant device and position the receiving container below the point of outfall.
43.6.2 Reset the stopwatch to zero (if necessary).
43.6.3 Start the stopwatch when the receiving container begins to fill.
43.6.4 Stop the stopwatch at the exact moment the water level reaches the pre-calibrated one-gallon mark on the graduated cylinder or container.
43.6.5 Document the elapsed time on the Flow Rate Measurement.
43.6.6 Empty the receiving container.
43.6.7 Repeat steps 43.6.1 – 43.6.6 as required by the regulatory scheme or client.
43.6.8 Average the flow measurements to determine a mean flow rate.
43.6.9 Document the measurements on the Flow Test Measurement Analytical Data Log.

43.7.0 TECHNICAL AIDS

QF340.Flow Measurement Analytical Data Form

43.8.0 EXPLANATORY NOTE

N/A

GCT GULF COAST TESTING, LLC

Analytical Data Record
Flow Rate Measurement

Sample Location	Technician	Sub Location	Type Sample	Division of Day	Date Sample Collected	Flow Rate 1 (sec/gal)	Flow Rate 2 (sec/gal)	Flow Rate 3 (sec/gal)	Avg Flow Rate (sec/gal)
				☐ AM ☐ Noon ☐ PM					
				☐ AM ☐ Noon ☐ PM					
				☐ AM ☐ Noon ☐ PM					
				☐ AM ☐ Noon ☐ PM					
				☐ AM ☐ Noon ☐ PM					
				☐ AM ☐ Noon ☐ PM					
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				☐ AM ☐ Noon ☐ PM					
				☐ AM ☐ Noon ☐ PM					

44.0 INFILTRATION/EXFILTRATION PROCEDURE

44.1.0 PURPOSE

This section describes the infiltration/exfiltration test. The Standards require all systems tested to preclude the infiltration of groundwater into the system and exfiltration of wastewater out of the system.

44.2.0 POLICY

All Quality Procedures are written to comply with Gulf Coast Testing policy established in the Quality Manual and conformity to ISO/IEC 17065 and ISO/IEC 17025.

44.3.0 APPLICATION

This procedure is performed by the Deputy Program Manager.

44.4.0 DEFINITIONS

N/A

44.5.0 REFERENCES

Standards

44.6.0 PROCEDURE

44.6.1 Install Tank according to manufacturer's specifications.
44.6.2 Manufacturer shall sign and date the tank installation form.
44.6.3 Install a short section of sewer pipe on the influent and effluent ports. Cap the pipe sections. Ensure the capped sections are leak free.
44.6.4 Fill the tank with fresh water. Fill all compartments of the unit with tap water to the ceiling of the tank.
44.6.5 Measure the height of the water in each isolated compartment. Record the height and the time on the Infiltration-Exfiltration Analytical Data Record.
44.6.6 Wait 24 hours. Measure the height of the water in each compartment.
44.6.7 Calculate the loss (if any) of the water. If the change in water volume is less than 0.5%, notify the program manager the manufacturer has passed the infiltration exfiltration test. If the change in water volume is greater than 0.5%, notify the program manager the manufacturer has failed the infiltration exfiltration test.

44.7.0 TECHNICAL AIDS

QF034.Infiltration/Exfiltration Analytical Data Form

44.8.0 EXPLANATORY NOTE

N/A

GULF COAST TESTING, LLC

Analytical Data Record
Infiltration / Exfiltration

SPE_____

Date Analyzed	

Test Site	Technician	Time	Compartment	Water Measurement inches	Time	Water Measurement inches	OK	Not OK	Analyst Initials
							☐	☐	
							☐	☐	
							☐	☐	
							☐	☐	

Comments

45.0 NOISE PROCEDURE

45.1.0 PURPOSE

When aerobic treatment systems are installed according to the manufacturer's specifications, the systems shall not produce excessive noise. This section describes the activities to record noise measurements to ensure the systems meet the requirements referenced by the Standards.

45.2.0 POLICY

All Quality Procedures are written to comply with Gulf Coast Testing policy established in the Quality Manual section and conformity to ISO/IEC 17065 and ISO/IEC 17025.

45.3.0 APPLICATION

This section is performed by the Deputy Program Manager.

45.4.0 DEFINITIONS

N/A

45.5.0 REFERENCES

N/A

45.6.0 PROCEDURES

The Deputy Program Manager perform this procedure.

45.6.1 Noise Test

45.6.1.1 Calibrate the Sper Scientific Sound Meter pursuant to QP034 Calibration.

45.6.1.2 Measure the background noise level with all electrical and mechanical components of the system turned off. Attempt to minimize the background noise level below 50 dBA. When the system is operating below 60 dBA, no correction is required.

45.6.1.3 If the background noise level cannot be reduced below 50 dBA, use the chart below to correct the final operating noise level for high background noise.

Difference between total and background sound readings in dBA	Number to subtract from total to yield corrected noise level
0 to 2	reduce background levels
3	3
4 to 5	2
6 to 10	1
> 10	0

45.6.1.4 Using the Sper Scientific Sound Meter, measure the noise level of the system 47 inches above the ground surface and 236 inches from the system in four directions, at 90º, 180º, 270º, and 360º from the system and its appurtenances.

45.6.1.5 The Deputy Program Manager will then record the responses on GCT Quality Form QF345.

45.7.0 TECHNICAL AIDS

QF345.Noise Analytical Log

45.8.0 EXPLANATORY NOTE

N/A

GCT GULF COAST TESTING, LLC

Noise Analytical Log

Date Analyzed		Time Analyzed		SPE Number	
Test Site		Deputy Program Manager			

Using the Sper Scientific Sound Meter, measure the background noise level with all electrical and mechanical components of system off. Use the chart below to correct if necessary.

Background Noise Level with all electrical and mechanical components of the system off, dBA	

Correction Chart	
Difference between total and background sound readings, dBA	***Number to subtract from total to yield corrected noise level**
0-2	**Reduce Background Levels**
3	**3**
4-5	**2**
6-10	**1**
>10	**0**

Distance (Measured 1.2 Meters Above Ground Surface)	Noise Level dBA	*Corrected Noise Level dBA	Analyst Initials
6.00 Meters and 90 Degrees			
6.00 Meters and 180 Degrees			
6.00 Meters and 270 Degrees			
6.00 Meters and 360 Degrees			

Comments _____

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