1. PURPOSE

To establish criteria for the conformity evaluation program of equipment for improvement of water quality for human consumption under the requirements of ABNT NBR 14908:2004 and NBR 15176:2004 standards for the benefit of consumers’ health.

2. RESPONSIBILITY

TÜV Rheinland do Brasil Ltda. is responsible for the review of these “Requirements for the Granting of License for Use of (SBAC) Mark for filters”, hereinafter referred to as “Requirement”.

3. SUPPLEMENTARY DOCUMENTS

- INMETRO/MDIC Ordinance no. 93 as of 03.12.2007 – Conformity evaluation regulation of equipment for improvement of water quality for human consumption.
- NBR ISO 9001 Standard – Quality Management System – Requirements
- INMETRO/MDIC Ordinance no. 73 as of 03.29.2006 – Regulation for Use of Labels, Accreditation Symbols and INMETRO Identification Labels.

4. DEFINITIONS

For the purposes of this Requirement, the following definitions will be adopted, including those contained in ABNT NBR 14908:2004 and ABNT NBR 15176:2004 standards.

4.1 Market

It means the place where the products are sold to consumers or at factory warehouse.

4.2 Applicant:

A legal entity that holds a license for use of Conformity Mark and signs a contract and is liable for the certification process.

4.3 Manufacturer:

A legal entity that carries out the equipment assembling process.

4.4 Model:

A Product containing only designation or Trade Mark.

4.5 Description Report:

A report provided by the applicant of certification containing the characteristics of product to be certified and must contain at least the product mark, model and blueprint with a specification of internal components in contact with water.
4.6 Family
A set of models where the characteristics and declaration of efficiency contained in the Description Report are equals, could be varying only relating to design of products.

4.7 Conditioning Unit
A component or parts of equipment that are responsible for improvement of water quality, comprising: filters, ozone, candle filter, hollow fiber and UV.

Note: under NBR 14908:2004 standard, filter means a conditioning unit.

4.8 Type
An equipment characteristic regarding to the applicability of standard, understood by gravity or by pressure.

4.8.1 Gravity
Equipments with electric systems whether incorporated or not, intended to the improvement of water quality by using a filter, an internal conditioning unit or other internal device, in which water is transferred from a recipient to another by gravity, comprising: clay, porcelain, plastic filters, filtering vessels, drinking fountains, etc.

4.8.2 Pressure
Equipments with electric systems whether incorporated or not, intended to the improvement of water quality by using a filter, an internal conditioning unit or other internal device that water passes through by pressure of the installation place, comprising: drinking fountains, purifiers, filters, etc.

5. ACRONYMS
- ABNT Brazilian Technical Standards Association
- CBAC Brazilian Conformity Evaluation Committee
- CGCRE General Accreditation Coordination
- DIPAC Division for Conformity Evaluation Programs
- DQUAL INMETRO Quality Boards
- INMETRO National Institute of Metrology, Standardization and Industrial Quality
- LNM National Metrology Laboratory
- NBR Brazilian Standards
- OAC Conformity Evaluation Body
- OCP Product Certification Body
- RAC Conformity Evaluation Regulation
- SBAC Brazilian Conformity Assessment System

6. CONFORMITY EVALUATION METHOD
The method selected to conformity evaluation for equipment for improvement of water quality for human consumption is the certification.

6.1 Certification Model
This Requirement establishes the potential selection between two different certification models for obtaining the license for use of the Conformity identification Mark, as described in Items 7.1 and 7.2.
6.2 The applicant must formalize, by means of a form provided by TÜV, its option for the Model of Certification.

7. STAGES FOR CONFORMITY EVALUATION PROCESS

7.1 Model with Evaluation of the Manufacturing Quality Management System and Tests

7.1.1 Initial Evaluation

7.1.1.1 Analysis of Application and Documentation

7.1.1.1.1 The manufacturer Quality Manual and the respective procedures shall be analyzed by TÜV Rheinland do Brasil, including those inherent to the stages of manufacturing of equipments for improvement of water quality for human consumption subject to this application.

7.1.1.1.2 The Applicant shall formalize under the form delivered by TÜV Rheinland do Brasil its option for certification model, embracing the evaluation and monitoring of Quality Management System of the manufacturer of product subject to this application, as well as the performance of tests provided for in relevant technical standards listed in item 3 of this regulation.

Note: the manufacturer legal representative, as foreign or national, must be completed in the form.

7.1.1.1.3 The application must contain: The name of equipment for improvement of water quality for human consumption, its description data sheet and the documentation of the Quality Management System from manufacturer, prepared to satisfy the provisions described in Annex A of this Requirement.

7.1.2 Initial Audit

After the analysis and approval of application and documentation, an initial audit of the Quality Management System of manufacturer is scheduled between TÜV Rheinland do Brasil and applicant under the Annex A of this Requirement, and the sampling collect at the plant to carry out all type tests.

Note: upon delivery of the Quality Management System Certificate issued by a Certification Body member of SBAC, under NBR ISO 9001 Standard, and considering that this certification is valid for the production line of equipment for improvement of water quality for human consumption subject to this application, the holder of this certificate is released from evaluations of the Quality Management System established in this Regulation during its validity. In this event, the holder of said certificate shall make available to TÜV Rheinland do Brasil all documents resulting from this certification.

7.1.3 Type Tests

After the initial audit in the plant, the type tests mentioned in ABNT NBR 14908:2004 and NBR 15176:2004 standards must be carried out.

Note: the sampling collect and tests must be carried out by TÜV Rheinland do Brasil.

7.1.3.1 For products with flow rate over 1000 liters/h, the reference value of 1000 liters/h must be considered in the tests.

Note: in case of prototypes, the manufacturer may collect samples necessary and submit them to the Laboratory / TÜV Rheinland do Brasil, as agreed upon between them and under the responsibility of TÜV Rheinland do Brasil. The approval of prototype in type tests does not release TÜV Rheinland do Brasil from validate the products after the production line start-up.

7.1.3.2 The type tests are all those prescribed by ABNT NBR 14908:2004 and NBR 15176:2004 standards. Note: upon corrections, amendments or updating of the standards mentioned in this Requirement, the standards may only be used as authorized by INMETRO.

7.1.3.3 General testing

1. Hydrostatic pressure testing (equipment for improvement of water quality by pressure only);

2. Fatigue testing (equipment for improvement of water quality by pressure only);
3. Microbiologic level control testing;
4. Testing to determine contaminants (extractable).

7.1.3.4 Performance testing

1. Testing to verify the efficiency of particles retention (only equipment for improvement of water quality with this function);
2. Testing to verify the efficiency of free chlorine reduction (only equipment for improvement of water quality with this function);
3. Testing to verify the bacteriological efficiency (only equipment for improvement of water quality with this function).

Notes:

a. When it happens changement of any components or materials in contact with water and that do not affect the equipment efficiency, testing of contaminants (extractable) and microbiological level must be carried out;

b. When it happens changement of elements or materials contained in the conditioning unit, that could modify the equipment efficiency, testing of contaminants (extractable), microbiological level control and those relating to the declared efficiency must be carried out;

c. In equipments by pressure, when it happens changement in any element or material, resting of fatigue and Hydrostatic pressure must be also carried out.

7.1.3.5 The sampling collect for type tests must be done by TÜV Rheinland do Brasil according to a minimum quantity for the tests, and samples are collected from each family to be certified (triplicate: proof, counterproof and witness).

7.1.3.6 The type tests must not contain any nonconformities. In case of nonconformities in such type tests, the manufacturer must provide the adjustments required in its manufacturing process. Thereafter, new samples may be collected by TÜV Rheinland do Brasil.

7.1.4 Certification Process Surveillance Testing

7.1.4.1 TÜV Rheinland do Brasil is liable for carrying out all Surveillance Testing after the granting of authorization for use of the Conformity Identification Label.

7.1.4.2 The tests must be carried out under subitem 7.1.4.2.1., according to the frequency established based on the granting of certification for use of the Conformity identification label. The tests may be carried out by TÜV Rheinland do Brasil for periods lesser than those indicated in this regulation, provided that justified by changes in the production process or complaints about the product.

7.1.4.2.1 Items of NBR 14908:2004 and 15176:2004 standards for each period of monitoring:

<table>
<thead>
<tr>
<th>Samples</th>
<th>1st period</th>
<th>2nd period</th>
<th>3rd period</th>
<th>4th period</th>
</tr>
</thead>
<tbody>
<tr>
<td>Contaminants (Extractable)</td>
<td>X</td>
<td></td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>Microbiologic level control</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Fatigue</td>
<td></td>
<td>X</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Hydrostatic</td>
<td></td>
<td></td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>Labeling</td>
<td></td>
<td></td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>*Efficiency</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
</tbody>
</table>

Note: For each period it must be carried out at least one declared efficiency test.

7.1.4.2.2. At the end of cycle comprising four (4) periods, a new sequence of tests described in subitem 7.1.4.2 must be started.

7.1.4.3 It must be selected samples, only in the commerce, for each family of certificated product, taking into account that all tests established for the period can be made in the product chosen. This selection is
made by TÜV Rheinland do Brasil without the prior notice to the manufacturer. This selection provides a sample for the proof, counterproof and witness tests belonging to the same manufacturing lot.

7.1.4.4 The interval between each period is **nine months**. If nonconformities are found out in one of the surveillance testing, this test must be repeated in other two new samples: counterproof and witness, and in this case nonconformity is not admitted.

**Note**: The nonconformity may be confirmed without any counterproof and witness tests, as TÜV Rheinland do Brasil think convenient and having in accordance with the manufacturer.

7.1.4.5 When the nonconformity is confirmed, TÜV Rheinland do Brasil will suspend immediately the authorization of conformity identification label using for the respective family and request the manufacturer to apply corrective actions and implementation deadlines. After the implementation of such corrective actions, the tests will be carried out by the manufacturer in the family at intervals of **6 months** until obtains no occurrences in two consecutive periods, after that the tests will be carried out at the intervals described in item 7.1.4.4.

7.2 Lot Certification Model

7.2.1. Application for Certification

The applicant must formalize the option for the certification model that evaluates the conformity of a product lot in a form provided by TÜV Rheinland do Brasil.

The application must contain the Lot identification and the description report of equipment for improvement of water quality for human consumption related to the defined lot.

7.2.2 Documentation Analysis

In the case of importer, TÜV Rheinland do Brasil must confirm the lot identification in the import documentation and, in the case of national manufacturer, analyze the lot identification procedure.

7.2.3 Initial Testing for Lot

7.2.3.1 All initial tests for Lot are prescribed under ABNT NBR 14908:2004 and NBR 15176:2004 standards, and the tests are made in double of tests prescribed, as required for the proof test, and counterproof and witness tests are not carried out.

7.2.3.2 The initial tests for Lot mustn’t contain any nonconformity.

7.2.3.3 In case of nonconformities, the selection of new samples of the Lot isn’t permitted.

7.2.3.4 The selection of samples for initial tests for Lot must be made by TÜV Rheinland do Brasil.

7.2.3.5. For the Lot Evaluation Scheme, the authorization for use of the Conformity identification label depends on evaluated importation/manufacturing Lot only.

7.2.4 Lot Inspection Testing
7.2.4.1 In addition to the tests prescribed in subitem 7.2.3.1 of this annex, **TÜV Rheinland do Brasil** must schedule tests as items of contaminants (extractable) and efficiency test under ABNT NBR 14908:2004 and NBR 15176:2004 standards in samples selected under NBR 5426:1985, with a normal simple sampling plan, general level of inspection I and NQA of 0.25.

7.2.4.2 The Lot inspection tests must not contain any nonconformities.

7.2.4.3 In case of nonconformities, the selection of new samples of the Lot is not permitted.

7.2.4.4. The Samples selection for Lot inspection tests must be made by **TÜV Rheinland do Brasil**.

**7.3 Certification Process Ending**

7.3.1 The certifying company that definitely wants quit the manufacturing or import of the equipment for improvement of water quality for human consumption must notify immediately **TÜV Rheinland do Brasil**.

7.3.2 After this notice, **TÜV Rheinland do Brasil** must schedule an extraordinary audit to check and record the following requirements:

a. The quantity and manufacturing date of the latest Lot of production;

b. The material available in warehouse for new productions;

c. The quantity of final products in stock, and the forecast of consumption of this Lot made by the certifying company;

d. If the requirements provided for this regulation have been met since the last monitoring audit.

7.3.3 **TÜV Rheinland do Brasil** must also schedule the process ending tests. These tests are those provided for in NBR 14908:2004 and 15176:2004 standards.

7.3.4 In case of nonconformities in the results of these tests, **TÜV Rheinland do Brasil** will request the certified company to take the relevant actions by defining the provisions and implementation dates prior to the cancellation of process.

**Note:** if the nonconformities found do not put in risk the human health, under analysis and responsibility of **TÜV Rheinland do Brasil**, **TÜV Rheinland do Brasil** may cancel the process without other action taken by the certified company with the products currently being commercialized.

7.3.5 Since the stages above have been concluded, **TÜV Rheinland do Brasil** will notify the Certifying Commission and INMETRO of cancellation of the authorization for conformity identification label using.

**7.4 Treatment of Complaints**

The supplier must establish a Systematics for treatment of customer’s complaints that comprises the following requirements, depending on the specificities of the Program:

a. Notions on Brazilian Law 8.078 of September 11, 1990, which provides for Consumer’s Protection and other actions; and Brazilian Law 9.933 of December 20, 1999, which provides for Conmetro and INMETRO Abilities, and establishes a metrological services fee and other actions;

b. Complaint Treatment Policy signed by the President evidencing that the company:

- Defines responsibilities to the formally designated team or the qualified person with freedom to drive the treatment of complaints;
- Valuates and effectively treats the complaints submitted by the customers;
- Stimulates and analyzes the results, as well as takes the appropriate actions, according to the statistics of complaints received;
- Engages to response any complaints received by INMETRO and within the term established by it;
c. Complaints Treatment Procedure that must contemplate a simple form of filing of the complaints by customer, as well as the tracking, investigation, response, resolution and closing of complaints;

d. Critical analysis on a semi-annual basis of statistics of the complaints received and evidences of implementation of the corrective actions, as well as the opportunities for improvement.

8. CONFORMITY IDENTIFICATION LABEL

8.1 Label Specification

The Conformity identification label defined in Annex B from this Requirement denotes to indicate that equipments for improvement of water quality for human consumption are in compliance with NBR 14908:2004 or NBR 15176:2004 standards, according to the certification processes established in this Requirement.

Note: INMETRO Decree no. 73/2006 has been satisfied for purposes of development of the Conformity identification label.

8.1.1 Label’s Acquisition

The production of Conformity identification label shall meet the requirements established in this Regulation and under responsibility of applicant. INMETRO may request at any time a sample of the labels produced to check if they satisfy all requirements.

8.1.1.1 It is responsibility of applicant to choose the graphics to produce and supply the Conformity identification label.

8.1.1.2 TÜV Rheinland do Brasil is responsible for supervising the acquisition of the Conformity identification label.

8.1.1.3 The equipments for improvement of water quality for human consumption must show the Conformity identification label in product and primary packaging, if any has, as defined in Annex B from this Requirement.

8.1.2 Label Traceability

The Conformity identification label in the product must be visible, legible, indelible and with device of plating (device of destruction in an attempt to remove the label making unfeasible the reuse) and must follow the characteristics described in Annex B from this Requirement.

8.1.2.1 TÜV Rheinland do Brasil must verify the traceability of products certified under manufacturer or applicant controls.

8.1.2.2 In the event of application for scope’s extension of authorization for use of the Conformity identification label, the relevant equipments for improvement of water quality for human consumption may only be commercialized upon approval by TÜV Rheinland do Brasil.

8.1.2.3 When the applicant requests the extension of authorization for additional models of the same family, from a same manufacturing plant, following the same may be made by applicant to TÜV Rheinland do Brasil in compliance with the same technical standards.

8.1.2.4 The application must be made for a defined model and for the same manufacturing plant.

8.1.2.5 When the applicant moves to another location or produces in more than one location maintaining the same project of product in compliance with the same technical standards, the applicant may request the extension by TÜV Rheinland do Brasil by carrying out the evaluation of the quality system of plant and surveillance tests.

8.1.3 Transferring to INMETRO

The value described in sub items 8.1.3.1 and 8.1.3.2 must be paid by supplier to INMETRO by means of Federal Government Collection Document – GRU for the payment of implementation and maintenance costs of the Conformity Evaluation Program of product subject of this Regulation.

8.1.3.1 Group 1
Transfer value to INMETRO per Conformity identification label: 0.0285 Ufir (Reference Fiscal Unit)

a. Not electric, pressure equipments for improvement of water quality for human consumption (filters, purifiers, etc);

b. Not electric, gravity equipments for improvement of water quality for human consumption (clay vessels, vases, etc.).

8.1.3.2 Group 2

Transfer value to INMETRO per Conformity identification label: 0.1143 Ufir (Reference Fiscal Unit)

a. Electric, pressure equipments for improvement of water quality for human consumption (filters, purifiers and drinking fountain, etc);

b. Electric, gravity equipments for improvement of water quality for human consumption (filters, drinking fountain, etc.).

Note: these values shall be reviewed by an annual basis for adjustments.

8.1.3.3 TÜV Rheinland do Brasil shall notify INMETRO until the 5th business day of each month of value to be paid by each one of its certified manufacturers. The following company's information must be contained in this notice:

- Corporate name
- Full address
- Telephone number
- Corporate Taxpayer Registry (CNPJ)
- Value to be paid

8.2 Granting of Authorization for Conformity identification label Using:

The document granting the authorization for use of the conformity identification label shall contain at least the following information:

a. Corporate name, CNPJ (Corporate Taxpayer Registry), fictitious name (when applicable) and full address of applicant and manufacturer, if the latter is not applicant. In the case of foreign manufacturers, the CNPJ is not required;

b. Authorization number;

c. Issuance date and validity of authorization;

d. Identification of models comprised by the authorization;

e. Name, registration number and signature of TÜV Rheinland do Brasil;

f. The Lot identification is obligatory in case of Lot conformity evaluation.

g. The attestmen:

   “This authorization is subject to a contract and to the address mentioned above”.

9. OBLIGATIONS & LIABILITIES

9.1 Certification’s Activity Recognition

TÜV Rheinland do Brasil shall meet the requirements established in sub items 9.1.1 and 9.1.2 described below for the recognition and acceptance of certification activities established in this Requirement, however, implemented by an exchange certifying agency:

9.1.1 Any agreement for the accreditation of activities necessary for the compulsory certification, such as result of tests or inspection reports with certifying agencies engaged in abroad shall only be accepted if such activities are carried out by agencies that satisfy the same accreditation standards adopted by INMETRO, besides being reciprocally accredited.

9.1.2 In any situation, TÜV Rheinland do Brasil is responsible for Product’s Certification.
9.2. Authorized Company’s Obligations

The authorized company shall:

9.2.1 Meet all conditions established in the respective technical standards, as listed in item 3 of this Requirement, in legal provisions and in contractual provisions in respect of the granting of authorization, regardless of their transcription.

9.2.2 Apply the conformity identification label in all equipmentes for improvement of water quality for human consumption certified under the criteria established in this Requirement.

9.2.3 Comply with all decisions regarding to the certification taken by TÜV Rheinland do Brasil and ultimately address to INMETRO for the events of complaints and appeals.

9.2.4 Provide TÜV Rheinland do Brasil or its contractor, by means of evidence of this condition, to carry out audits and surveillance, as well as to carry out any tests and other certification activities provided for in this Regulation.

9.2.5 Maintain the technical and organizational conditions that served as base for obtaining the authorization for use of the conformity identification label and notify TÜV Rheinland do Brasil of any modification intended to make to the product to which a certification has been granted.

9.2.6 Immediately notify TÜV Rheinland do Brasil of any definitive ending up of manufacturing or importation of the model of certified equipments for improvement of water quality for human consumption.

9.2.7 Not use the codification (code and model) of the certified product for not certified products.

9.2.8 Previously submit to TÜV Rheinland do Brasil all publicity material in which the conformity identification label is contained.

9.2.9 In the instructions for use or user information, the references on characteristics not included in NBR 14908:2004 and NBR 15176:2004 standards may not be associated with the conformity identification within the scope of Brazilian Conformity Assessment System (SBAC) or induce the user to believe that such characteristics are guaranteed by this identification. In addition, they must include the following sentence prior to the description of these characteristics:

“The characteristics described below have not been evaluated under the product certification process”.

Note: this information shall be clearly given in bold with the same format and letter size of those used in the description of characteristics, and in all areas or sites where this information is showed.

9.2.10 The certified company has technical, civil and criminal responsibility for its products manufactured or imported, as well as for all documents relating to the certification, and this responsibility may not be transferred to another entity.

9.3 TÜV Rheinland do Brasil’s Obligations

TÜV Rheinland do Brasil shall:

9.3.1 Implement the conformity evaluation program, as provided for in this Regulation under the requirements established herein, and it’s mandatory to solve INMETRO’s doubts.

9.3.2 Use the database system provided by INMETRO to update the information on certified products.

9.3.3 Immediately notify the INMETRO of any suspension, extension, reduction and cancellation of certification.

9.3.4 Proceed as defined in subitem 7.3, if the certified company quits the manufacturing or import of certified equipments for improvement of water quality for human consumption.
9.3.5 Submit the Memorandum of Understandings to INMETRO for analysis and approval under this Regulation, established with other Certification agencies.

9.3.6 Verify if manufacturer/applicant meets the subitem 9.2.9.

10. PENALTIES

The manufacturer/importer of equipment for improvement of water quality for human consumption that fails to meet the requirements of this regulation shall be subject to penalties of warning, suspension or cancellation of its certification, in addition to those provided for in Brazilian Law no. 9933 of November 20, 1999.

11. USE OF TESTING LABORATORY

The tests established in the certifying schemes as defined in sub items 7.1.3 and 7.1.4 of this Regulation must be carried out in third party laboratories accredited by INMETRO for the specific scope.

11.1 Exceptionally, a non-accredited laboratory may be used for the specific scope, subject to an evaluation by TÜV Rheinland do Brasil based on the rules defined in annex of NIT-DICOR-021 (INMETRO NORMATIVE) the following events:

I. When there is no accredited laboratory for the specific scope relating to the Conformity Evaluation Program;

II. When there is only one accredited laboratory and TÜV Rheinland do Brasil evidences that the non-accredited laboratory analyses price, plus the costs resulting from the evaluation made by TÜV Rheinland do Brasil in comparison to that accredited one are, at least, less than 50%;

III. When the accredited laboratories fail to meet for not later than two months the term for the beginning of analyses or tests established in the regulations;

IV. When the accredited laboratories are located in places far away from the Applicant Company, making difficult to transport samples, and resulting in damages and breakage of them or affecting the delivery time in the laboratory.

11.2 Upon the occurrence of any events described above, TÜV Rheinland do Brasil shall follow the priority order below in selecting the non-accredited laboratory for the specific scope

a. Accredited first party laboratory;
b. Accredited third party laboratory for other scopes of testing;
c. Non-accredited third party laboratory;
d. Non-accredited first party laboratory.

11.3 In all the events described in the previous paragraphs, TÜV Rheinland do Brasil shall submit the supporting evidences to INMETRO justifying the reasons to select the laboratory.

11.4 TÜV Rheinland do Brasil shall maintain the records of the evaluation according with the annex to NIT-DICOR-021 (INMETRO NORMATIVE) standard for subsequent verifications.

11.5 If non-accredited first party laboratory is hired, TÜV Rheinland do Brasil shall follow the performance of all tests carried out by this laboratory.

11.6 If accredited third party laboratory for other scopes of testing, TÜV Rheinland do Brasil shall evaluate the requirements of the Annex to NIT-DICOR-021 standard, except for the items 1 to 3.
11.7 Acceptance by foreign accreditation agencies of results from accredited testing laboratories

The laboratory shall be accredited by an accreditation agency that is signatory party to a mutual accreditation multilateral agreement, established by one of the cooperations listed below. The scope of the agreement signed must include the accreditation of testing laboratories.

- Interamerican Accreditation Cooperation (IAAC);
- European Co-operation for Accreditation (EA);
- International Laboratory Accreditation Cooperation (ILAC).

Note:

a. The list of accredited laboratories may be obtained through the INMETRO sites, cooperations and agencies that are signatory parties to referred agreements;
b. The laboratory accreditation scope must include the applied testing method under this Regulation;
c. The testing reports issued by laboratory must contain a clear identification as accredited laboratory.

12. ACTIVITIES CARRIED OUT BY FOREIGN ACCREDITED AGENCIES

The conformity evaluation activities carried out by a foreign agency may be accepted since all the following conditions are satisfied:

a. TÜV Rheinland do Brasil shall have signed a Memorandum of Understanding with the foreign agency;
b. The foreign agency shall have been accredited under the same international standards adopted by INMETRO, for the same scope or equivalent;
c. The activities carried out abroad shall be equivalent to those regulated by INMETRO;
d. TÜV Rheinland do Brasil shall have issued a certificate of conformity under the Brazilian regulation and assumed all responsibilities for the activities carried out abroad and resulting from this issuance, as if all such activities were conducted by it;
e. TÜV Rheinland do Brasil shall be responsible for the decision and granting of certificates of conformity; and
f. The Memorandum of Understanding shall have been approved by INMETRO.

13. EXTENSION OR DECREASE OF THE CERTIFICATION SCOPE

The Applicant may formally request TÜV Rheinland do Brasil an extension of the certification scope. TÜV Rheinland do Brasil will analyze the request and verify about the necessity of new tests and factory’s evaluation.

Note: An audit shall not be required for the decrease of scope. The company’s request is reported to the competent Certification Commission, and another certificate is issued with the new scope. The new scope is communicated to INMETRO and disclosed in website of TÜV Rheinland do Brasil. In the decrease of scope, the company’s applicant shall:

- Provide TÜV Rheinland do Brasil with a list of remaining products which are no longer within the scope of certification, but they are under Label of the Brazilian Conformity Assessment System (SBAC);
- Evaluate its publicity material so as not to disclose the certification improperly – see item 15.
14. APPEAL

The Applicant may appeal to the Certification Commission against any decisions resolved by the Certification Commission within thirty (30) days from the notice of the decision, declaring the reasons for his disagreement.

The Certification Commission may determine any subsequent appraisals and visits of auditors other than those who have made the Initial Evaluation Audit and take a new resolution after analyzing the problem in the presence of initial auditors and the new auditors.

The Commission shall appreciate the appeal within a deadline of three months from the date of its filing.

15. TERM AND DURATION OF CERTIFICATION

The Product Certification Agreement is valid for two (2) years and may be automatically renewed for an equal period and successive periods, unless in case of waiver or revocation as established in these Requirements for the Granting of License for Use of Label of the Brazilian Conformity Assessment System (SBAC).

*The Certificate validity will be 3 years, having coincidence with the ending of Maintenance Test Cycle.*

16. COMPLAINTS AND DENUNCIATION REPORT

In the event of irregularities, complaints, or denunciation reports formalized, TÜV Rheinland do Brasil shall appreciate the question by means of a multidisciplinary group composed of persons of each area involved and after a conclusion submit such issue to the Certification Commission to decide the procedures to be adopted.

17. UNDUE USING OF CERTIFICATION

TÜV Rheinland do Brasil shall inspect if the use of Conformity identification label in the product or documentation of the company is not misleading to the recipients of message.

In particular, when is undue the use of Certification, by Certificate using and Conformity Identification Label:

- When the Certification has not been still granted, or has been revoked;
- When the Certification has been suspended;
- To products not covered by the Certification.

18. SUSPENSION OF CERTIFICATION

18.1 TÜV Rheinland do Brasil may suspend the Certification of a product when:

- The periodic Audits and Tests find nonconformities that affect the quality of product or Quality Control System;
- The Company fails to perform its obligations assumed;
- A formal request is made by the Company communicating TÜV Rheinland do Brasil in a filed correspondence and containing the reasons for the suspension, the period of duration of the suspension.

18.2 Following the suspension, TÜV Rheinland do Brasil must:

- Disclose it in website of TÜV Rheinland do Brasil and notify INMETRO of suspension of the Company and its respective period of duration;
• Follow the dates established by the Company to remedy the nonconformities;
• Proceed to the certification revocation process if such corrective actions have not been implemented within the fixed lead times.

18.3 Such suspension may only be revoked when the Company has effectively taken corrective actions, as verified.

18.4 In the event that suspension has not been revoked within six (6) months, the certification of product must be revoked.

18.5 All information relating to the suspension of certification of a company is reported to the relevant Certification Commission and INMETRO.

19. REVOCATION OF CERTIFICATION
19.1 The revocation of certification of a product is established in the following events:
• The noncompliance with the obligations assumed, as described in the Requirements for the Granting of License for Use of Label of the Brazilian Conformity Assessment System (SBAC);
• The nonconformities that affect the product's quality or Quality Control System of the Company not solved within a space time of six (6) months;
• The bankruptcy of the company;
• In the case of non-payment of sums owed to TÜV Rheinland do Brasil, where the company persisted in its default, despite the warning sent in writing after one month of his expedition;
• If changes are made to Requirements for the Granting of License for Use of Label of the Brazilian Conformity Assessment System (SBAC), and the conditions and new requirements are not guaranteed and satisfied by the company within the terms established;
• The undue use of Certificate or Label of Conformity;
• In case of significant alterations to the items of Quality Control System of the Company or the product, and this fact is not communicated to TÜV Rheinland do Brasil.

19.2 In the event of revocation, the Applicant shall:
• Destroy all publicity material relating to the certification or Conformity identification label;
• Return and not use the Product Conformity’s Certificate and any of its copies.

19.3 Upon revocation, TÜV Rheinland do Brasil shall:
• Notify the Company of reasons for the revocation;
• Disclose the revocation of the Certificate of Product of the Company in website of TÜV Rheinland do Brasil and notify INMETRO of such revocation;
• Verify and charge any debits;
• Report this fact to the relevant Technical Commission.
• If applicable, obtain a list of remaining labeled products of the company in order to control the use of Conformity Label.
20. WAIVER

20.1 The Company may waive the certification:

- Upon the administrative expiration of the Agreement of Certification upon at least three (3) months of advance notice;
- When it does not accept the variations in economic conditions;
- When it does not accept the variations introduced into the Requirements for the Granting of License for Use of Label of the Brazilian Conformity Assessment System (SBAC);
- When it does not accept the variations in reference standards;
- When no longer makes the products subject to certification, definitely.
- For other reasons that need TÜV Rheinland do Brasil analysis.

20.2 In the event of waiver, the Company shall:

- Send to TÜV Rheinland do Brasil a document signed by its legal representative or someone by its designee, informing its decision;
- Discharge any debts to TÜV Rheinland do Brasil;
- Return and not use the Product Conformity’s Certificate;
- Not use the Conformity identification label of the Brazilian Conformity Assessment System (SBAC);
- Destroy all publicity material relating to the Certification or Conformity identification label of Brazilian Conformity Assessment System (SBAC).

20.3 TÜV Rheinland do Brasil must, if applicable, obtain a list of remaining products labelled of applicant in order to control the use of Conformity identification label.

21. RECONSIDERATION

The Company may send to TÜV Rheinland do Brasil an application for reconsideration of the cases of waiver, suspension or revocation by a document signed by its legal representative or someone by its designee, informing the reasons that led to the current situation and the actions adopted by the Company to change this situation.

22. VARIATION IN THE STANDARDS

In the event that any significant technical variations have been introduced into the applicable standards, TÜV Rheinland do Brasil shall notify the applicant these variations and the applicant may introduce them in compliance with the new prescriptions within the term established or waive to the granting of license for use of the Label.

If the license for use is maintained, TÜV Rheinland do Brasil shall be entitled to repeat the tests of new samples, as well as to require new drawings or models for the due purposes.

The expenses for any new tests shall be responsibility of applicant, according to the fees charged by TÜV Rheinland do Brasil.

23. DOCUMENT CHANGEMENT CONTROL

Revision 01:
- Item 7.1.5 inclusion
- 2nd Paragraph of Item 15 inclusion
- Annex B – Inclusion of TÜV logos; Inclusion of a Note.
ANNEX A

REQUIREMENTS FOR EVALUATION OF THE MANUFACTURING QUALITY MANAGEMENT

A.1. The initial and periodic evaluation of the manufacturing quality management system must be carried out by TÜV Rheinland do Brasil.

A.2. The initial and periodic evaluation of the manufacturing quality management system must verify if the requirements listed below are met:

<table>
<thead>
<tr>
<th>Requirement</th>
<th>Subitem of the Standard</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Control of records (*)</td>
<td>4.2.4</td>
</tr>
<tr>
<td>2. Production Control (*)</td>
<td>7.5.1, 7.5.2</td>
</tr>
<tr>
<td>3. Verification of production and service provision (*)</td>
<td>7.4.3</td>
</tr>
<tr>
<td>4. Identification and traceability of product (*)</td>
<td>7.5.3</td>
</tr>
<tr>
<td>5. Preservation of product (*)</td>
<td>7.5.5</td>
</tr>
<tr>
<td>6. Control of monitoring and measuring devices (*)</td>
<td>7.6</td>
</tr>
<tr>
<td>7. I Customer Satisfaction (*)</td>
<td>8.2.1</td>
</tr>
<tr>
<td>8. Measurement and monitoring of product (*)</td>
<td>8.2.4</td>
</tr>
<tr>
<td>9. Control of nonconforming product (*)</td>
<td>8.3</td>
</tr>
<tr>
<td>10. Corrective actions (*)</td>
<td>8.5.2</td>
</tr>
</tbody>
</table>

(*) This evaluation must be made under the NBR ISO 9001:2000 – Quality Management Systems - Requirements

A.3. If manufacturer has a Quality Management System certified by a Systems Certification Agency (OCS) accredited by INMETRO under the NBR ISO 9001:2000, TÜV Rheinland do Brasil must analyze the documentation regarding to the Quality Management System ensuring that the requirements described above have been evaluated focused on the product to be certified. Otherwise, TÜV Rheinland do Brasil must verify if the requirements described in item A.2 are met.

A.4. The periodic evaluation of the manufacturing quality control system must be carried out at a minimum once a year after the granting of authorization for use of the Conformity Identification Label, and other evaluations may be made if the certification commission of TÜV Rheinland do Brasil decides, based on reasonable evidences.
ANNEX B
IDENTIFICATION OF CONFORMITY WITHIN THE SCOPE OF SBAC

B.1. Product Conformity Identification Label

NOTE: TÜV Rheinland do Brasil will make it available in archive after Certificate’s emission, the Art of Conformity Identification Label, but the part regarding about the Performance Tests, will be provided by the client, and submitted to Certification Body for approval.
B.3. Concerning the particle retention performance, the equipment must be classified according to the characteristics described in table 1 of the ABNT NBR 15176:2004 or ABNT 14908:2004 standards. The classification of equipment must contain the particle size range.

B.4. Concerning the free chlorine reduction performance, the equipment must be classified according to the characteristics described in table 2 of the ABNT NBR 15176:2004 or ABNT 14908:2004 standards. The classification of equipment must contain the available free chlorine reduction percentage.

B.5. Concerning the bacteriological performance, if this feature is contained in the equipment, the expression “APPROVED” must be contained.

B.6. If no performance features described above is contained in the equipment, the expression “NOT APPLICABLE” must be indicated.