Manual K15013
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Kiwa Manual

Kiwa Covenants for products and processes

Kiwa Nederland B.V.
Sir Winston Churchilllaan 273
Postbus 70
2280 AB RIJSWIJK
The Netherlands

Tel. +31 88 998 44 00
Fax +31 88 998 44 20
info@kiwa.nl
www.kiwa.nl

Trust
Quality
Progress

1 Introduction

1.1 General

This Manual K15013 describes the requirements for products and processes using the Covenant principle (see point 1.3).

The procedure used by Kiwa for conducting the necessary investigations prior to issuing the Covenant certificate are described in Annex II.

This manual is used by Kiwa in conjunction with the Kiwa-Regulations for Certification.

For the performance of its certification work, Kiwa is bound to the requirements as included in the clause 4.6 “conditions and procedures for granting, maintaining, extending, suspending and withdrawing certification” of NEN-EN-ISO/IEC 17065.

1.2 Field of application / scope

Any field of application is covered by the Manual K15013.

For any product or material intended for contact with drinking water also Kiwa Manual K15010 applies.
Remark:
The Kiwa Covenant is considered for innovative products, not (yet) described with a Kiwa Guideline (BRL).
Manual K15013 is not intended for products or processes already described with an existing guideline (BRL).

1.3 Covenant Principle

The Covenant can only be set up after approval of the **K**iwa **C**ommittee of **C**ovenant (**KCC**).
The Kiwa Covenant is a **bipartite** contract with:

- Kiwa as one of the parties;
- The supplier as the other party.

For each Covenant under this Manual the **KCC** shall appoint a technical committee that will decide about all requirements on which approval of the Covenant will be based.
For the procedure how to set up the Covenant, see Annex II.

1.4 Acceptance of test reports provided by the supplier

If the supplier provides reports from test institutions or laboratories to prove that the products meet the requirements of the Covenant, the supplier shall prove that these reports have been drawn up by an institution that complies with the applicable accreditation standards, namely:

- NEN-EN-ISO/IEC 17020 for inspection bodies;
- NEN-EN-ISO/IEC 17021 for certification bodies certifying systems;
- NEN-EN-ISO/IEC 17024 for certification bodies certifying persons;
- NEN-EN-ISO/IEC 17025 for laboratories;
- NEN-EN-ISO/IEC 17065 for certification bodies certifying products.

1.5 Quality declaration

An Example of the quality declaration to be issued by Kiwa based on Manual K15013 can be found in Annex I.

2 Terms and definitions

In this manual the following terms and definitions are applicable:

2.1 Supplier: the party that is responsible for ensuring that the products meet and continue to meet the requirements on which the certification is based.

2.2 Product: products, components or materials meeting the requirements of Manual K15013.

2.3 Proces: combination of steps and activities to realize a product or a specific result**.**

2.4 Product requirement**:** requirements made specific by means of measures or figures, focusing on (identifiable) characteristics of products and containing a limiting value to be achieved, which limiting value can be calculated or measured in an unequivocal manner.

2.5 Pre-certification tests**:** tests in order to ascertain that all the requirements recorded in the manual are met.

2.6 Inspection tests**: tests carried out after the certificate has been granted in order to ascertain whether the certified products continue to meet the requirements recorded in the manual.**

Remark: The test matrix contains a summary showing what tests Kiwa will carry out in the pre-certification stage and in the event of inspections as well as showing the frequency with which the inspection tests will be carried out.

2.7 Certificate**:** a document, in which Kiwa declares that a product or process may, on delivery, be deemed to comply with the specification recorded in the certificate.

2.8 Testing**:** for this manual “testing” is the following:

All necessary testing to ensure that the product shall meet the requirements as stated with this manual.

2.9 Covenant**:** A Covenant is a statement of endorsement, which means an explicit statement of approval, always in relation to the content of that specific Covenant.

2.10 Combined Covenant**:** In addition to the requirements of manual K15013 also the requirements of Protocol K15010 (products in contact with drinking water) and/or manual K15012 (Kiwa Covenant for Circular Economy aspects of products and or processes) are part of the certification agreement.

2.11 Bipartite contract**:** Contract between two parties.

2.12 KCC**:** Kiwa Committee of Covenants.

2.13 Transparent **–** Transparency**:** In the context of a Covenant transparency implies openness, communication and accountability, in such a way that it facilitates easy access to the necessary information concerning this Covenant.

2.14 Traceable **–** Traceability**:** A chronological record, set of records, or destination and source of records that provide documentary evidence of the sequence of activities that have affected at any time a specific operation, procedure or event. Also traceability refers to the completeness of the information about every step in a supply system.

2.15 Claim**:** A statement quantifying one or more aspects of a product or process that is – within the framework of the Kiwa Covenant– based on verified evidence.

3 Procedure for granting the quality declarations

3.1 Pre-certification tests

The pre-certification tests to be performed are based on the (product) requirements as included in this manual including the test methods and contain, depending on the nature of the product or process to be certified:

- type testing to determine whether the products or results of the process comply with the functional requirements,
- production Process Assessment,
- assessment of the quality system and the IQC-scheme,
- assessment on the presence and functioning of the remaining procedure.

3.2 Granting the quality declarations

After finishing the pre-certification tests the results are presented to the person deciding on granting of the certificate. This person evaluates the results and decides whether the certificate can be granted or additional data and/or tests are necessary.

4 Requirements

4.1 General

This chapter contains the requirements that the products or processes have to fulfil. These requirements are part of the technical specification, as included in the certificate.

Remark: Kiwa Protocol K15010 describes the hygienic requirements for products, components or materials that come into contact with drinking water.
Remark: Kiwa Manual K15012 describes the requirements for granting the Castor Gaia Logo (focussed on environmental and sustainability aspects).

4.2 Functional requirements

Functional requirements have to cover the following aspects:
For products:

- Life time of the product;
  - Any necessary testing applied to investigate wearing, UV influence, oxidation, etc
- Good functioning of the product;
  - Any testing applied to investigate declared output of the product

For processes:

- Intended outcome of the process;
  - Any necessary testing to assure that outcome is reached
- Stability of the process.

All related aspects and the resulting testing regime is set up according the procedure in Annex II and will be presented in the Covenant.

4.3 Instructions

The supplier shall provide installation or working instructions where applicable. A reference to these instructions shall be made at or near to the packaging for products. The instructions must contain specific information with regard to storage, safety, transport, processing temperature, and specific installation guidelines.

5 Marking

In relation with the certification mark (5.3) the information under this chapter shall be available to the user.

5.1 For products or materials:

- name or logo of the manufacturer;
- data or code indicating the date of production;
- type indication .

This information can be presented on the product or on the packaging for products and materials
In agreement with Kiwa.

5.2 For processes:

For processes a certificate shall be available to be presented.

5.3 Certification mark

For a combined Covenant (see point 2.9) the certification mark in Protocol 15010 (Kiwa Watermark) and/or manual 15012 (Castor Gaea) is also required.

After concluding a Kiwa certification agreement, the certified product, material or process can be indelible presented with the logo below.

Remark:
In agreement with the supplier a clear description of the scope of the Covenant can be added in the Logo.

The latest version of the certificate can be found on the Kiwa site under:
Covenant + certification number.
www.kiwa.nl/gecertificeerde-bedrijven.aspx

6 Requirements in respect of the quality system

This chapter contains the requirements which have to be met by the supplier's quality system.

6.1 Manager of the quality system

Within the supplier's organizational structure, an employee who will be in charge of managing the supplier's quality system must have been appointed.

6.2 Internal quality control/quality plan

The supplier shall have an internal quality control scheme (IQC scheme) which is applied by him.

The following must be demonstrably recorded in this IQC scheme:

- which aspects are checked by the producer;
- according to what methods such inspections are carried out;
- how often these inspections are carried out;
- in what way the inspection results are recorded and kept.

This IQC scheme should at least be an equivalent derivative of the model IQC scheme as shown in Annex III.

6.3 Procedures and working instructions

The supplier shall be able to submit the following:

- procedures for:
  - dealing with products showing deviations;
  - corrective actions to be taken if non-conformities are found;
  - dealing with complaints about products and/or services delivered;
- the working instructions and inspection forms used.

6.4 Other requirements

The supplier must be able to submit the following:

- the organisation's organogram;
- qualification requirements of the personnel concerned.

7 Summary of tests and inspections

This chapter contains a summary of the following tests and inspections to be carried out in the event of certification:

- pre-certification tests;
- inspection test as to toxicological requirements and product requirements;
- inspection of the quality system.

7.1 Test matrix

In table 1 the test matrix is given.

Table 1 – Test matrix.

Description of requirement	**Article no. of Manual Clause**	**Tests within the scope of:**	
		Pre-certification	**Supervision by Kiwa after granting of certificate** [a,b)]
Good functioning	4.2	X	X
Lifetime of the product or functionality of the process	4.2	X	X
Instructions	4.3	X	X
Marking	5	X	X

a) In case the product or process changes significantly, it must be determined whether the performance requirements are still met.

b) Characteristics that can be determined within the visiting time (maximum 1 day) might be determined by the inspector or by the supplier in the presence of the inspector. In case this is not possible, an agreement will be made between the certification body and the supplier about how the inspection will take place. The frequency of inspection visits is defined in chapter 8.7 of this manual.

7.2 Inspection of the quality system

The quality system will be checked by Kiwa on the basis of the IQC scheme (see Annex III).
The inspection contains at least those aspects mentioned in the Kiwa Regulations for Certification.

8 Agreements on the implementation of certification

8.1 General

Besides the requirements included in this Manual, the general rules for certification as included in the Kiwa Regulations for Certification also apply.

These rules are in particular:

- the general rules for conducting the pre-certification tests, in particular:
  - the way suppliers are to be informed about how an application is being handled;
  - how the tests are conducted;
  - the decision to be taken as a result of the pre-certification tests.
- the general rules for conducting inspections and the aspects to be audited,
- the measures to be taken by Kiwa in case of Non-Conformities,
- the measures taken by Kiwa in case of improper use of Certificates, Certification Marks, Pictograms and Logos,
- terms for termination of the certificate,
- the possibility to lodge an appeal against decisions of measures taken by Kiwa.

8.2 Certification staff

The staff involved in the certification may be sub-divided into:

- Certification assessor (**CAS**): in charge of carrying out the pre-certification tests and assessing the inspectors' reports;
- Site assessor (**SAS**): in charge of carrying out external inspections at the supplier's works;
- Decision maker (**DM**): in charge of taking decisions in connection with the pre-certification tests carried out, continuing the certification in connection with the inspections carried out and taking decisions on the need to take corrective actions.

8.3 Qualification requirements

The following qualification requirements have been for the subject matter of this evaluation guideline (see Table 2):

Table 2 – Qualification requirements of certification staff.

Basis requirements	Evaluation criteria
Knowledge of company processes Requirements for conducting professional audits on products, processes, services, installations, design and management systems.	*Relevant experience: in the field* **SAS, CAS** : 1 year **DM**: 5 years inclusive 1 year with respect to certification Relevant technical knowledge and experience on the level of: **SAS**: High school (MBO) **CAS, DM** : Bachelor (HBO)
Competence for execution of site assessments. Adequate communication skills (e.g. reports, presentation skills and interviewing technique).	**SAS**: Kiwa Audit training or similar and 4 site assessments including 1 autonomic under review.
Execution of initial examination	**CAS**: 3 initial audits under review.
Conducting review	**CAS**: conducting 3 reviews

	Certification assessor	Site assessor	Decision maker
Education - specific	• Manual-relevant technical education • specific studies and training (know-how and skills)	• Manual -relevant technical education • specific studies and training (know-how and skills)	• not applicable.
Experience - specific	• Detailed knowledge of the Manual and 4 certification tests carried out on the basis of the manual or similar	• Detailed knowledge of the Manual and 4 inspections carried out on the basis of the manual or one similar.	• general knowledge of the Manual

The level of education and experience of the certification staff involved should be demonstrably recorded.

Legend:

- Site assessor (**SAS**)
- Certification assessor (**CAS**)
- Decision maker (**DM**)

8.3.1 Qualification

The qualification of the Certification staff shall be demonstrated by means of assessing the education and experience to the above mentioned requirements. In case staff is to be qualified on the basis of deflecting criteria, written records shall be kept.

The authority to qualify staff rests with the:

- Decision maker: qualification of Certification and Site assessors;
- Management of the certification body: qualification of Decision makers.

8.4 Report Pre-certification tests

Kiwa records the results of the pre-certification tests in a report.
This report shall comply with the following requirements:

- completeness: the report provides a verdict about all requirements included in the evaluation guideline;
- traceability: the findings on which the verdicts have been based shall be recorded and traceable;
- basis for decision: the KCC shall be able to base his decision on the findings included in the report.

8.5 Decision for granting the Covenant

The decision for granting the certificate shall be made by the KCC. The decision shall be recorded in a traceable manner.

8.6 Layout of quality declaration

The product certificate shall be in accordance with the model included in Annex I.

8.7 Nature and frequency of third party audits

Kiwa shall carry out audits on site at the supplier at regular intervals to check whether the supplier complies with his obligations. At the time this Manual will take effect, the base frequency of audits can be at least one audit less on site per year for suppliers with a quality management system (in accordance with ISO 9001) for their production, which has been certified by an acknowledged body (in accordance with ISO/IEC 17021) and where the IQC scheme forms an integral part of the quality management system.

In case the production of the supplier is not certified against ISO 9001, the frequency of the audits on site may be increased.

The audit program on site shall cover at least:

- the suppliers IQC scheme and the results obtained from inspections carried out by the supplier;
- the correct way of marking certified products;
- compliance with required procedures.

The results of each audit shall be recorded in a traceable manner in a report.

8.8 Non conformities

When the certification requirements are not met, measures are taken by Kiwa in accordance with the sanctions policy, namely:

what is published on the Kiwa service portal (www.kiwa.nl) in the Covenant site.

9 Covenant procedure

9.1 Introduction

The Kiwa Covenant is a statement of endorsement of Kiwa that contains an explicit approval of the claim of that specific Covenant.

The Kiwa Covenant is intended for products or processes such as innovative products or procedures that need recognition and for example aspects not covered by an evaluation guideline.

9.2 KCC levels

9.2.1 General

The KCC is following the procedures as described in this guideline.
The KCC shall supervise the activities related to all KIWA Covenants, as well as validating the approvals.

The KCC is a committee that evaluates proposals for Covenants.

First level
Decides about applications and reports to the first level on a regular basis3.
Second level
Is an appointed technical committee to set up the content of a Covenant.

9.2.2 KCC Evaluation

A director chairs the KCC.
Other members are:

- a unit manager;
- at least one senior certification specialist;
- the Kiwa coordinator Covenants is secretary of the meetings of the KCC evaluating group.

The KCC meets on a regular basis depending amongst others on the agenda and the amount of requests.

Each individual request is subject to a verification moment.
An impact study is conducted for the content of a Kiwa Covenant in relation to existing programs and policies.

The outcome of the impact study is an approval or objection for a Covenant request.

9.2.3 KCC Technical Committee

In principle for each Kiwa Covenant a Technical Committee has to be appointed by the KCC evaluation group.

Remark: Normally the KCC invites the auditor(s) of the impact study to the technical committee.

9.3 Issuing, applying and maintenace of a Kiwa Covenant

9.3.1 General

- For a Kiwa Covenant for products or for a process the Kiwa Regulations for Certification shall be followed.
- Interference of a Kiwa Covenant with an existing certification scheme shall be avoided, as well as with certification schemes in development.
- The Kiwa entity that wants to issue a Kiwa Covenant shall always have the approval of its unit manager or business unit director.
- A Covenant is bonded to a production location with specified products, processes and potentially materials and can also include testing.

9.3.2 General rules for issuing a Kiwa Covenant

- The Kiwa Covenant shall follow a statement or claim of a supplier, which can be about a product, process or a component. It shall always be specific in its claim in great detail, avoiding any misunderstanding or misinterpretation about a claim.
- When a component is concerned the claim shall be specific about its role or size or which part of a product it concerns.
- The suppliers claim is subject of verification by an assessor. The claim must be traceable and transparent.
- The assessor is obliged to control the suppliers claim involving also the chain of custody.
- The supplier shall hold a control system (part of its own Internal Quality Control Schedule) which is administrated by an appointed person.
- The suppliers control system shall be specific on
    - the aspects claimed by the producer;
    - according to what methods these aspects are checked;
    - how often these aspects are checked;
    - in what way the results are recorded and kept.
- To be carried out by assessors, certification specialists and inspectors with the necessary qualifications and knowledge for the area of the Covenant.

9.3.3 Maintenace of the Covenant

- Audit frequency will be preferably 2 times a year at the location of the applicant.
- The content of the Covenant needs checking for its validity including testing if necessary.
- Marking in relation to the Covenant for products or processes is not done or it must be indicated in the related context such as e.g. in a standard.

9.4 Administration

The administration of contracts regarding a Kiwa Covenant shall always follow the general administration rules.
A Kiwa Covenant shall have a unique identification and follows the standard certification rules of Kiwa.

9.5 Validity in time

Any Covenant shall be valid for an undefined period of time, as long as the supplier continues to meet all requirements of the Covenant, according to the Kiwa Regulations for Certification, article 6 (suspension, etc.). Also, when a defined number of Covenants of the same type is in place the KCC can decide to set up a Guideline to superpose the set of Covenants.

9.6 Internal communication

Because the Kiwa Covenant can be used by all Kiwa subsidiaries and for all possible scopes (see point 1, introduction) the internal communication about requests, external developments and Kiwa Covenant-topics in general is very important.
For this reason communications is centralized and internationally realized by the Kiwa Coordinator Covenants (castor @kiwa.nl).

9.7 Covenant decision tree

For the covenant decision tree, see annex II.

10 Titles of standards

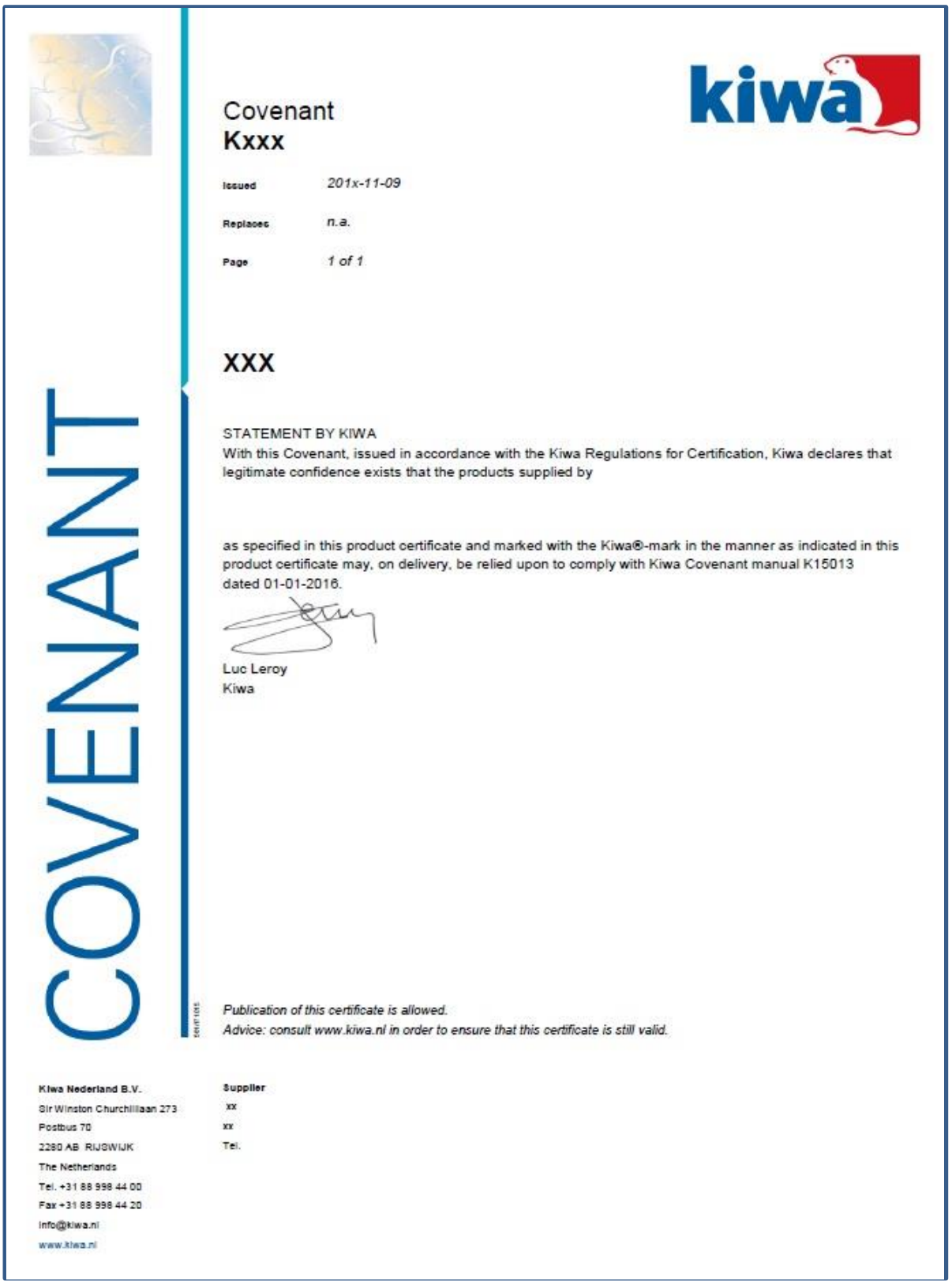
10.1 Standards / normative documents

The relevant normative documents (standards) for this evaluation guideline are listed in the Table 3.

Table 3 –Relevant normative documents/standards

Standard *	**Title**
EN-ISO 9001	Quality management systems - Requirements
NEN-EN ISO/IEC 17020	Conformity assessment - General criteria for the operation of various types of bodies performing inspection
NEN-EN ISO/IEC 17021	Conformity assessment - Requirements for bodies providing audit and certification of management systems
NEN-EN ISO/IEC 17024	Conformity assessment - General requirements for bodies operating certification of persons
NEN-EN ISO/IEC 17025	General requirements for the competence of testing and calibration laboratories
NEN-EN ISO/IEC 17065	Conformity assessment - Requirements for bodies certifying products, processes and services
Kiwa Protocol K15010	For products in contact with drinking water
Kiwa Manual K15012	Kiwa Covenant for Circular Economy aspects of products and or processes

I Annex: Model Covenant Certificate



COVENANT

Covenant
Kxxx

Issued 201x-11-09

Replaces n.a.

Page 1 of 1

XXX

STATEMENT BY KIWA
With this Covenant, issued in accordance with the Kiwa Regulations for Certification, Kiwa declares that legitimate confidence exists that the products supplied by

as specified in this product certificate and marked with the Kiwa®-mark in the manner as indicated in this product certificate may, on delivery, be relied upon to comply with Kiwa Covenant manual K15013 dated 01-01-2016.

Luc Leroy
Kiwa

Publication of this certificate is allowed.
Advice: consult www.kiwa.nl in order to ensure that this certificate is still valid.

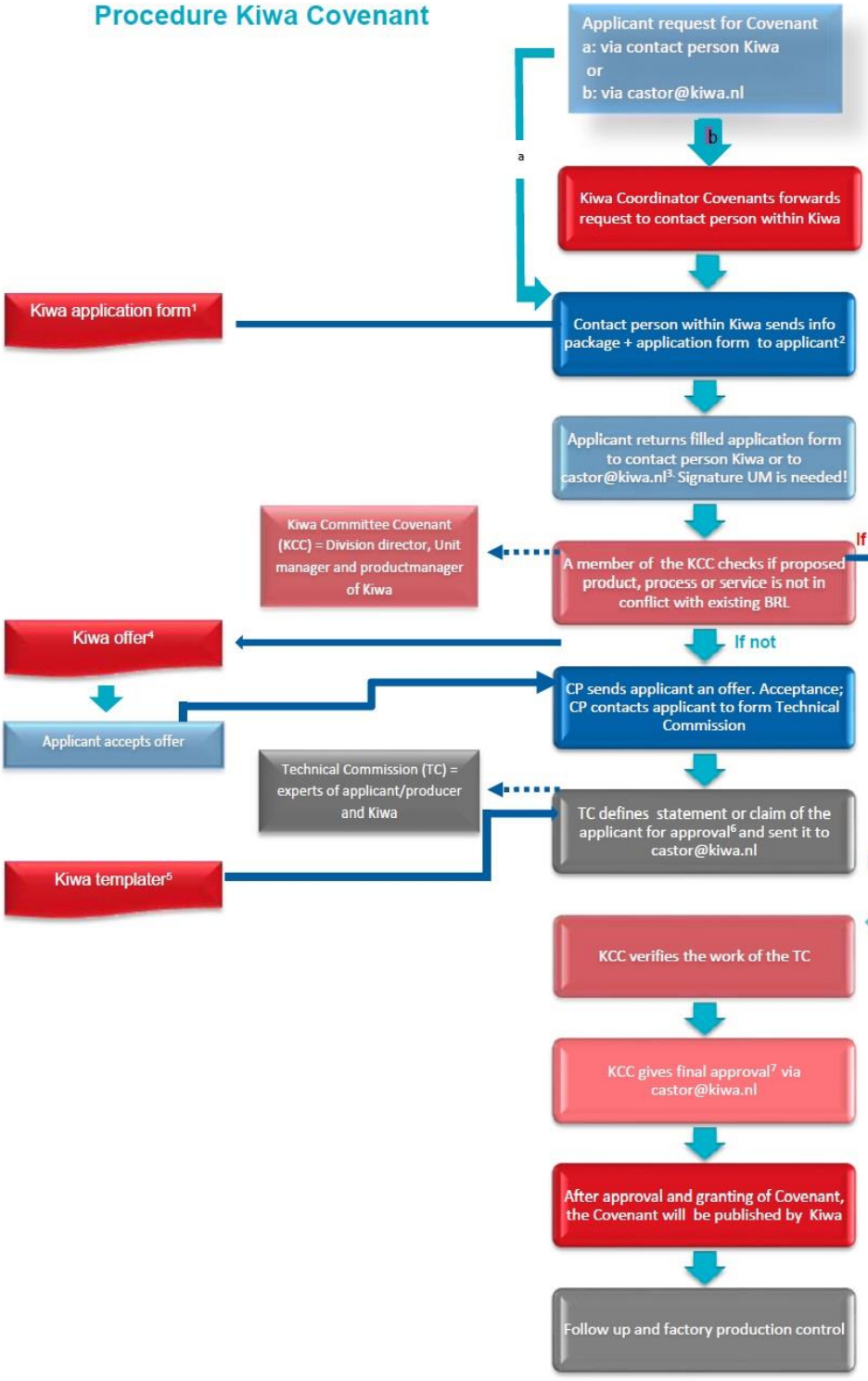
Kiwa Nederland B.V.
Sir Winston Churchilllaan 273
Postbus 70
2280 AB RIJSWIJK
The Netherlands
Tel. +31 88 998 44 00
Fax +31 88 998 44 20
info@kiwa.nl
www.kiwa.nl

Supplier
xx
xx
Tel.

II Annex: Covenant decision tree

See next page.

Procedure Kiwa Covenant



1. Request the info package and form you need at castor@kiwa.nl

2. Info needed:
   - product, process or service description
   - intended use
   - statement or claim to declare

3. Two options to handle the application:
   - if request comes from a Kiwa contact person ---> Kiwa
   - if request comes directly from client ---> find out who contact person is inside Kiwa

4. The contact person (CP) makes an offer

5. The TC will receive a template to fill in all the details for the Covenant

6. Technical Commission:
   - visits production side
   - collects test reports
   - evaluate results
   - x
   - x

7. Covenant coordinator asks for description and numbers in SaMa, issues this at the Covenants template and send approval and template to contact person within Kiwa.

- Coordinator Covenants
- Applicant
- CP Contact person Kiwa
- Technical Commission
- Quality team
- KCC

III Annex: Model IQC scheme

Inspection subjects	Inspection aspects	Inspection method	Inspection frequency	Inspection registration
Raw materials or materials supplied: - recipe sheets - incoming goods inspection raw materials				
Production process, production equipment, plant: - procedures - working instructions - equipment - release of product				
Finished-products				
Measuring and testing equipment - measuring equipment - calibration				
Logistics - internal transport - storage - Preservation - packaging - identification				