CSA Group

QD-1039 CSA Group Products, Processes and Services Scheme

Quality Document

Publication Date	Effective Date	SUMMARY OF CHANGES TO THE CURRENT REVISION	Replaces
2022-03-31	2022-04-31	• *New template used* • *Update to new QD Structure* • *Update to use new QD nomenclature* • *Update to periodic review of QD process.* • *Update of DQD feedback process* • *Removal of the word "customer" from "customer complaint", to allow the application and documentation of the compliant procedure extend to all interested parties.*	2018-11-19

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1 CONTACT CSA

1.1

Getting started is easy. There are three ways to contact us:

- Call 866 797 4272
- Email client.services@csagroup.org
- Complete a request for quote by visiting http://www.csagroup.org/request-a-quote/

2 PRE-APPLICATION

2.1

Before the application, CSA may ask you to provide:

- Contact and company information.
- Information about your product (how and where your product will be used).
- The countries where you intend to sell your product.
- The list of all other approvals you have already received or are currently pursuing.
- The standard(s) your product has been designed to meet and standards you would like your product tested against.
- Marketing brochures or technical specification sheets describing your product (what it is, what it does, and what it looks like).
- Photograph of your product.
- The list of all components and materials used in the product including: manufacturers' names, model or catalogue designations, electrical ratings and CSA Group file numbers.

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If components have been certified by an agency other than CSA Group, please provide the agency listing number along with part names.
- The alternate materials or components that may be used in manufacturing.
- The schematics and/or wiring diagrams.
- The model or catalogue numbers, including any similarities or differences between models.
- The full names and addresses of all manufacturing facilities and the contact person.
- Once we receive this information, a CSA Group representative will contact you.

3 APPLICATION

3.1

For each project, an Application for CSA Certification Services will be issued to you. Each Application will contain the following information:

a) the scope of the desired certification;
b) the product(s) to be certified;
c) the project cost;
d) the Standard(s) (including edition) used for the certification; and
e) Related Class Number(s).

3.2

Together with the Application, a Sales Quotation document will be sent. For first time applicants, a link to a Global Service Agreement (GSA) webpage is provided and you are asked to review and accept the terms and conditions in the GSA.

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4 GLOBAL SERVICE AGREEMENT & ADDITIONAL CERTIFICATION TERMS FOR CSA GROUP CERTIFICATION SERVICES

4.1

The GSA requires you to comply at least, with the following:

a) the client always fulfils the certification requirements, including implementing appropriate changes when they are communicated by CSA;
b) if the certification applies to ongoing production, the certified product continues to fulfill the certification requirements;
c) the client makes all necessary arrangements for
    - the conduct of the evaluation and surveillance, including provision for examining documentation and records, and access to the relevant equipment, location(s), area(s),
    - personnel, and client's subcontractors;
    - investigation of complaints;
    - the participation of observers (e.g. Accreditation Body Auditor), if applicable;
d) the client makes claims regarding certification consistent with the scope of certification;
e) the client does not use its product certification in such a manner as to bring the certification body into disrepute and does not make any statement regarding its product certification that the certification body may consider misleading or unauthorized;
f) upon suspension, withdrawal, or termination of certification, the client discontinues its use of all advertising material that contains any reference thereto and takes action as required by the certification scheme (e.g. the return of certification documents) and takes any other required measure;
g) if the client provides copies of the certification documents to others, the documents shall be reproduced in their entirety or as specified in the certification scheme;
h) in making reference to its product certification in communication media such as documents, brochures or advertising, the client complies with the requirements of the certification body or as specified by the certification scheme;
i) the client complies with any requirements that may be prescribed in the certification scheme relating to the use of marks of conformity, and on information related to the product;

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j) the client keeps a record of all complaints made known to it relating to compliance with certification requirements and makes these records available to the certification body when requested, and
   - takes appropriate action with respect to such complaints and any deficiencies found in products that affect compliance with the requirements for certification;
   - documents the actions taken;

k) the client informs the certification body, without delay, of changes that may affect its ability to conform with the certification requirements. Examples of changes can include the following:
   - the legal, commercial, organizational status or ownership,
   - organization and management (e.g. key managerial, decision-making or technical staff),
   - modifications to the product or the production method,
   - contact address and production sites,
   - major changes to the quality management system.

4.2

The complete and current Global Service Agreement can be found at:

http://www.csagroup.org/legal/service-agreements/

4.3

You must provide us with your legal name, type of entity, address and contact information.

4.4

You may wish to appoint an Agent to act directly with CSA Group on your behalf by providing CSA Group with written authorization to do so. Each authorization shall be on a Client's Authorization for an Agent form and shall include the signatures of the client's and the agent's authorized signing officer(s) and of the designated employees of the Agent company. Once signed, the agent may deal directly with CSA Group, on your behalf, regarding all aspects of the CSA Group – client relationship under the terms of the Global Service Agreement.

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5 APPLICATION REVIEW

5.1

The materials you provided will be reviewed by CSA product group technical staff, to ensure CSA has the capability and expertise to provide the service, and to ensure that CSA has the appropriate certification and testing accreditation(s) to cover the scope of work being requested.

5.2

In response to an application for an amendment to the scope of a certificate already granted, CSA shall decide what, if any, evaluation procedure is appropriate in order to determine whether or not the amendment should be granted and shall act accordingly. A report and Certificate of Compliance is always reissued in its entirety with the revision date noted.

5.3

Any changes to the 'Target Completion Date', as quoted, require that you be notified of that change.

6 EVALUATION

6.1

Work is assigned to competent Certifiers.

6.2

When services have to be subcontracted to a non-CSA Group facility, this work is placed with a competent subcontractor. You will be advised of the arrangement in writing and asked to provide your consent. Where testing has been subcontracted, the location where the tests were carried out will be identified in the Test Report.

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6.3

When test failures (normally requiring modification to the product and/or “improved” samples) occur, you will be contacted for further direction.

6.4

You will be advised when additional information and/or modified samples are required to demonstrate the product into compliance with certification requirements. Prior to granting certification, your response to all findings must be received in writing and must include agreement to bring the product into conformity with the applicable requirements, as well as providing complete details of the changes that have been made.

6.5

Projects for first-time customers and projects with failures will have a CSA Group Findings Communication.

6.6

As required, initial factory evaluations (IFEs) will be arranged to evaluate the capability of the new factory to produce and mark products within a consistent manufacturing process.

7 REVIEW AND CERTIFICATION DECISION

7.1

CSA Group will assign at least one person to review all information and results related to the evaluation. The review will be carried out by person(s) who have not been involved in the evaluation process. The decision on certification is based on the review.

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8 CERTIFICATION DOCUMENTATION

8.1

The Certificate of Compliance (CofC) in conjunction with your published listing page is provided to you as a formal certification document and remains valid as long as it is published on the CSA Group Product Listing. Authorization of the CofC is identified by the name of the Certifier printed on the CofC.

9 CSA MARKS GUIDELINES

9.1

When certification of products has been authorized, there is a marking (a “CSA Mark”) to indicate compliance with CSA Group’s requirements. The CSA Mark is a REGISTERED MARK and may only be used under the terms and conditions of the CSA Group Global Service Agreement or Product Service Agreement as applicable.

9.2

This marking is only applied to products at the place(s) recorded with CSA Group (included in your descriptive report), unless written authority has been given by CSA Group to allow application of the marking elsewhere. The CSA Mark or marking is usually added to the certification holder’s marking medium and is accompanied with the identification of the certification/verification holder.

9.3

The following are some typical activities which constitute misuse of the CSA Mark: • Applying the CSA Mark to products without CSA Group’s written authorization or in a manner that is non-compliant with the Global Service Agreement, or Product Service Agreement as applicable.

- Applying the CSA Mark to products not manufactured according to the Certification Report.
- Applying the CSA Mark to products produced where required factory tests have not been carried out.
- Applying the CSA Mark to products that are hazardous or potentially hazardous (i.e. where basic safety has been ignored).
- Applying the CSA Mark to products at other than authorized locations.

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- Unauthorized transference of the CSA Mark through the mails, etc. (Nameplates incorporating the CSA Mark may only be applied at authorized locations. They are not permitted to be mailed or delivered for application in the field or market place).
- Unauthorized use of the CSA Mark in printed materials, such as catalogues advertising, etc. In addition, implying that products are certified, when such is not the case or misrepresenting the extent of certification/verification.

9.4

When misuse of the CSA Mark occurs, CSA Group will consider the following action. These actions are necessary to protect the integrity of the CSA Mark. CSA Group reserves the right to suspend the use of the CSA Mark when there is misuse until corrective action is taken, and may cancel a Global Service Agreement, or Product Service Agreement, as applicable upon written notice.

- For products in production and in stock—CSA Group will require removal of the CSA Mark or require that the product be made to comply with the CSA requirements.
- For products already shipped—CSA Group will require their recall for either removal of the CSA Mark or for reworking to make them comply with the CSA Group requirements.
- A public disclosure and/or notification of the Regulatory Authorities and/or appropriate legal proceedings.

10 DIRECTORY OF CERTIFIED PRODUCTS

10.1

Every product that bears a CSA Mark is listed in the CSA Group Product Listing (CPL). The CPL is updated daily.

10.2

CPL can be searched by:

- Product type
- Industry
- Manufacturer name or location
- Certification record information (*file number, class number or class description)

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11 SURVEILLANCE

11.1

CSA Group Field Service Representatives conduct facility visits, generally four (4) times per year but the frequency is dependent on certification scheme, product and production history, to determine whether or not certified products continue to comply with the applicable requirements established by CSA Group.

11.2

Facility visits/inspections are conducted to:

- verify that the appropriate CSA Mark(s) are applied only to eligible products;
- verify that the factory, on a continuing basis, is capable of producing CSA Group marked products in compliance with Certification Reports and under the terms specified in the Global Service Agreement, or Product Service Agreement, as applicable;
- assist the factory or warehouse facility with any CSA Group related matters (such as invoice problems or assistance with certification matters);
- inform the factory of new programs, changes in product requirements and their Effective Dates;
- verify that products and processes, not complying with the applicable requirements noted during previous visits, have been corrected;
- facilitate selection of samples required for periodic conformity testing (re-testing) of products that cannot be visually verified for compliance during the inspection; and
- verify conditions of certification, i.e. factory tests.

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11.3

CSA Group conducts periodic surveillance of products available in the marketplace for compliance with certification requirements.

12 CHANGES AFFECTING CERTIFICATION

12.1

CSA Group issues Notices and Informs help ensure your products continue to meet the latest standard's requirements.

12.2

Informs is a document issued by CSA Group that is used to communicate new or revised product testing requirements to certified clients regarding their products. Informs are not retroactive and do not require re-testing, or re-evaluation of previously certified equipment. An Inform is also issued to announce a new certification program to accompany a new standard or other recognized document for a product line. The Informs are effective immediately upon publication by CSA Group.

12.3

Notice is a document issued by CSA Group that is used to communicate new or revised requirements to certified clients in order to maintain certification of a product or product category covered by a product class number identified within the notice. Compliance with these requirements is mandatory by the effective date in order to maintain CSA Group certification. In most cases, re-submittal of samples and/or documentation for testing and/or evaluation by a CSA Group certifier is required. All Notices have an effective date published as an integral part of the Notice.

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13 CERTIFICATION SERVICES FEES

13.1

Testing and evaluation service fees, regardless of whether the product is certified or eligible for certification;

13.2

Annual fees consisting of inspection fees, maintenance fees and surveillance fees;

13.3

Inspection fees and costs associated with inspections at each facility where the product is manufactured or stored, including inspections conducted after the suspension, withdrawal or cancellation of the certification of a product;

13.4

Multiple listing fees to market or merchandise CSA Group certified products under different brand names;

13.5

Annual testing fees in respect of safety critical equipment, components or process-sensitive products that must be submitted for annual conformity or re-testing;

13.6

Annual fees for CSA Group qualification programs if required for certification together with fees relating to qualification program testing, training, assessments and re-qualification;

13.7

Assessment fees if assessments of Facilities and/or operations are required as a result of Your Change;

13.8

Re-testing and evaluation fees if samples must be submitted as a result of changes to certification requirements or construction or design of products;

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13.9

Investigation, inspection or audit fees if in default of any of the Certification Terms obligations and/or if corrective action is required to ensure that your product is compliant with certification requirements;

13.10

Administrative fees for removing models from CSA product listing; and

13.11

Applicable sales taxes, surcharges, and customs brokerage fees.

14 TERMINATION, SUSPENSION, OR WITHDRAWAL OF CERTIFICATION

14.1

There are a number of ways the initiation of a delisting or cancellation may occur:

- As a client, you may want to reduce your listing to remove obsolete models.
- CSA Group may initiate a suspension or withdrawal due to product non-compliance or a product incident.
- You may initiate a voluntary withdrawal.
- A suspension or withdrawal may involve changes in ownership or terminations of a CSA Group Global Services Agreement or Product Service Agreement, as applicable.
- Certification may be withdrawn where CSA Group fees are not paid.
- In all cases, CSA Group will attempt to contact you before changes are made.

15 COMPLAINTS

15.1

All complaints received through customer visits, surveys, telephone calls, letters, facsimiles, e-mails, etc. pertaining to communication, cost, quality, time and other similar issues involving

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CSA Group services including those related to certification services are addressed through CSA Group internal process.

15.2

Where a complaint cannot be resolved by the complaint recipient, at the complaint receipt stage, it will be forwarded to a Responsible Manager who has the authority to resolve the complaint.

15.3

CSA Group will periodically review and analyze complaint records to identify systemic, recurring and single incident problems and trends to help eliminate underlying causes of complaints.

16 APPEALS

16.1

The appeal process is used for a dispute arising from advertising of CSA Group services, use of appropriate standards, interpretation of requirements, use of CSA Group certification marks and other markings, and other issues pertaining to the certification processes.

16.2

A client may appeal a nonconformance identified by CSA Group. When a client files an appeal with CSA Group, it follows an escalation process through various levels

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17 REFERENCES

17.1 MANs, SOPs, SII, Quicknotes

Not applicable.

17.2 Work Instructions

Not applicable.

17.3 Templates, forms, and records

Not applicable.

17.4 Publications

Not applicable.

18 QUESTIONS AND UPDATE REQUESTS

If you have a question about this quality document, post your question in the Technical Forum - Quality Management and @mention the owner,. If you want to request an update for this quality document, use tracked changes to show your request and submit it through the Quality Central Update Intake Form.

End of document

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