



March 18, 2016

To Whom It May Concern:

Re: Conflict Minerals

As part of the Dodd-Frank Act of 2010 Congress adopted a disclosure requirement which requires that companies who must file reports with the Securities and Exchange Commission (SEC) report on their use of “conflict minerals” from conflict afflicted and high risk areas.

To the best of our knowledge, the suppliers for the product you purchase from Chemtrade do not use “Conflict minerals” (gold, tin, tantalum and tungsten) in the manufacturing of this product.

Regards,

Rama Bhaga
RCSE Analyst Supervisor
(416) 496-4160



CERTIFICATE



This is to certify that

Chemtrade Chemicals US LLC

Water Treatment Chemicals

90 East Halsey Road
Parsippany, NJ 07054
United States of America

with the organizational units/sites as listed in the annex

has implemented and maintains a **Quality Management System**.

Scope:

The manufacture of aluminum based products, iron based products, other water treatment chemicals, polymers, additives, specialty blends and sodium nitrite to specifications agreed upon with Chemtrade Chemicals US LLC, Parsippany, NJ including design and development. The supply of aluminum based products, iron based products and other water treatment chemicals to other Chemtrade Water Chemical Plants and the procurement, storage and delivery of sulfuric acid which may be procured from sources that are not ISO registered.

Through an audit, documented in a report, it was verified that the management system fulfills the requirements of the following standard:

ISO 9001 : 2008

Certificate registration no.	10008359 QM08
Date of original certification	1996-12-04
Date of certification	2015-10-15
Valid until	2018-09-22



DQS Inc.

Ganesh Rao
Managing Director





**Annex to Certificate
Registration No. 10008359 QM08**

Chemtrade Chemicals US LLC

Water Treatment Chemicals

90 East Halsey Road
Parsippany, NJ 07054
United States of America

Location

10002435
Chemtrade Solutions LLC
Newark Plant
330 Doremus Avenue
Newark, NJ 07105
United States of America

10004095
Chemtrade Solutions LLC
Pine Bluff Works
1615 Celia Road
Pine Bluff, AR 71613
United States of America

10004096
Chemtrade Solutions LLC
Denver Works
5075 East 50th Ave
Denver, CO 80216
United States of America

10004097
Chemtrade Solutions LLC
Atlanta Works
1427 Central Avenue
Atlanta, GA 30344
United States of America

10004098
Chemtrade Chemicals Canada Ltd.
Thunder Bay Plant
145 MacDougall Street
Thunder Bay, ON P7B 5G5
Canada

10004099
Chemtrade Solutions LLC
Augusta Works
1580 Columbia Nitrogen Dr.
Augusta, GA 30901
United States of America

10004100
Chemtrade Solutions LLC
Indianapolis Works
1598 South Senate Avenue
Indianapolis, IN 46225
United States of America

10004101
Chemtrade Solutions LLC
Toledo Works
1661 Campbell Street
Toledo, OH 43607
United States of America

10004102
Chemtrade Solutions LLC
Springfield Plant
1801 Hillcrest Drive
Springfield, TN 37172
United States of America

10004103
Chemtrade Solutions LLC
East St. Louis Works
2500 Kings Highway
East Saint Louis, IL 62201
United States of America

This annex (edition: 2015-10-15) is only valid in connection with the above-mentioned certificate.





**Annex to Certificate
Registration No. 10008359 QM08**

Chemtrade Chemicals US LLC

Water Treatment Chemicals

90 East Halsey Road
Parsippany, NJ 07054
United States of America



Location

10004104
Chemtrade Solutions LLC
Tampa Works
3004 East Clark Street
Tampa, FL 33605
United States of America

10004105
Chemtrade Solutions LLC
Middletown Works
305 Richmond Street
Middletown, OH 45042
United States of America

10004108
Chemtrade Solutions LLC
Menasha Works
388 Ahnaip Street
Menasha, WI 54952
United States of America

10004109
Chemtrade Solutions LLC
Macon Works
4652 Mead Road
Macon, GA 31206
United States of America

10004110
Chemtrade West US LLC
Bay Point Works
501 Nichols Road
Pittsburg, CA 94565
United States of America

10004111
Chemtrade Solutions LLC
Hopewell Works
511 East Plant Road
Hopewell, VA 23860
United States of America

10004112
Chemtrade Solutions LLC
Catawba Works
5424 Cureton Ferry Road
Catawba, SC 29704
United States of America

10004113
Chemtrade Solutions LLC
Jacksonville Works
5930 Soutel Drive
Jacksonville, FL 32219
United States of America

10004114
Chemtrade Solutions LLC
Covington Works
607 North Magazine Avenue
Covington, VA 24426
United States of America

10004115
Chemtrade Solutions LLC
Detroit Works
800 Marion Avenue
River Rouge, MI 48218
United States of America

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Registration No. 10008359 QM08**

Chemtrade Chemicals US LLC

Water Treatment Chemicals

90 East Halsey Road
Parsippany, NJ 07054
United States of America



Location

10004116
Chemtrade Chemicals Canada Ltd.
Barnett Plant
8655 Barnett Highway
Barnet, BC V0M 1E0
Canada

10004117
Chemtrade Solutions LLC
Ashdown Works
920 East Main Street
Ashdown, AR 71822
United States of America

10004118
Chemtrade Chemicals Canada Ltd.
Dalhousie Plant
Blair Malcom Road
Dalhousie, NB E0K 1B0
Canada

10004119
Chemtrade Solutions LLC
Savannah Works
211 Brampton Road
Savannah, GA 31402
United States of America

10004120
Chemtrade Chemicals Canada Ltd.
Valleyfield Plant
Clark Island
Valleyfield, PQ J6S 5G5
Canada

10004121
Chemtrade Chemicals Canada Ltd.
Nellie Lake Plant
Highway 11, Iriquois Falls A
Nellie Lake, ON P0K 1G0
Canada

10004122
Chemtrade Solutions LLC
Cedar Springs Works
Highway 273 West
Cedar Springs, GA 31732
United States of America

10004123
Chemtrade Solutions LLC
Johnsonburg Works
Ridgeway Road
Johnsonburg, PA 15845
United States of America

10004124
Chemtrade Solutions LLC
Port St. Joe Works
281 Chemical Drive
Port Saint Joe, FL 32456
United States of America

10004125
Chemtrade Solutions LLC
Syracuse Works
1421 Willis Avenue
Syracuse, NY 13204
United States of America

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**Annex to Certificate
Registration No. 10008359 QM08**

Chemtrade Chemicals US LLC

Water Treatment Chemicals

90 East Halsey Road
Parsippany, NJ 07054
United States of America

Location

10004135
Chemtrade Solutions LLC
Wisconsin Rapids Works
311 12th Avenue South
Wisconsin Rapids, WI 54495
United States of America

10004947
Chemtrade Solutions LLC
Vancouver Works
2611 West 26th St. Extension
Vancouver, WA 98660
United States of America

10004948
Chemtrade Solutions LLC
Terrell Works
503 East Grove St.
Terrell, TX 75160
United States of America

10004949
Chemtrade Chemicals Canada Ltd.
Thorold Plant
1686 Beaverdams Road
Thorold, ON L2V 3Y7
Canada

10009664
Chemtrade Sulfate Chemicals Inc.
Celina Plant
1055 N. Louisiana St.
Celina, TX 75009
United States of America

10009709
Chemtrade Solutions LLC
Odem Plant
5302 County Road 2047
Odem, TX 78370
United States of America

10009710
Chemtrade Sulfate Chemicals Inc.
Nicholson Plant
187 J.J. Holcomb Road
Nicholson, MS 39463
United States of America

10010763
Chemtrade Solutions LLC
Sacaton Plant
28 San Tan Industrial Park
Highway 87
Sacaton, AZ 85147
United States of America

This annex (edition: 2015-10-15) is only valid in connection with the above-mentioned certificate.



REPORT

SURVEILLANCE AUDIT ISO 9001:2008

CHEMTRADE CHEMICALS US LLC
1421 WILLIS AVENUE
SYRACUSE, NY 13204

AUDIT DATE
FROM: 28-APR-2014 TO 29-APR-2014

REF NO. 10004125

1 Certification recommendation

Thank you for your trustful cooperation during our recent audit of your organization. This report details the assessment results including strengths, opportunities, and weaknesses. These results were presented to your management at the closing meeting of the audit. You can use these results to improve the effectiveness of your management system. We look forward to continuing our partnership towards sustainable business success.

In reference to ISO 9001:2008, the audit team recommends to UL DQS:

- Issuance of the certificate
- Issuance of the certificate as soon as implementation of corrective actions has been demonstrated
- Maintenance of the certificate
- Maintenance of the certificate as soon as implementation of corrective actions has been demonstrated
- Not applicable, due to extraordinary type of report

Please remember to notify UL DQS about any significant change to your management system at your earliest convenience. Together we will then coordinate appropriate measures to maintain your current certification.

2 The Management System

2.1 Evaluation

UL DQS Assessments apply the Plan – Do – Check – Act, or the PDCA cycle approach. It can be applied to individual processes, a system or a managed organization.



Plan: Activities are planned objectives, processes and resources

Do: The plan is implemented.

Check: Results are compared with objectives and expectations.

Act: Necessary improvements and change are defined and planned (see Step 1. "Plan").

In summary we have evaluated your management system as follows:

2.2 PLAN: The management system and objectives

Changes to the management system, its documentation, processes, or structures have been implemented.

Yes, see remarks No

Remarks: New plant manager Joe Lockwood since June 2013

Corporate policies have been changed.

Yes, see remarks No

Remarks: Policies remain unchanged

Measurable objectives have been defined and are being pursued.

Yes No

Remarks: Reviewed weekly

(For automotive, EMS, OHSAS)

The organization has systems in place to ensure compliance to related legal requirements.

Yes No

Remarks:

2.3 DO: Processes in operation

The organization has planned and developed the processes needed for effective product realization and service provision.

Yes No, see corrective action plan

Remarks: Good definition of product requirements contained in "material numbers"

Production and service provision are carried out under controlled conditions.

Yes No, see corrective action plan

Remarks: Well defined in process and final product testing with good documentation showing strong process control

2.4 CHECK: Results and analysis

The organization determines, analyses and evaluates customer satisfaction.

Yes No, see corrective action plan

Remarks: Customer satisfaction is reviewed in daily staff meetings

The management review was performed. The information used and results correspond to all requirements of the respective standards.

Yes - date of last review:
 Deficiencies were identified, see corrective action plan

Remarks: Management review performed at HQ, daily staff meetings held with periodic reviews of action item plan

Internal audits are being planned and performed, including follow up, in an effective manner.

Yes No, see corrective action plan

Remarks: Last audit Dec 2013 performed by headquarters auditors

2.5 ACT: Improvement(s)

The organization improves its management system continuously, as adequate for its development.

Yes No, see corrective action plan

Remarks: Review of all aspects of operations on a daily basis resulting in specific improvements

Complaints and improvement proposals are being registered and measures are derived from these.

Yes No, see corrective action plan

Remarks: Complaints and customer feedback are reviewed when necessary at daily staff meetings and improvement program generated - example: improved pallet protection due to a spike in customer complaints related in damage to pallets received - incident management system records number of customer complaints

2.6 Additional strengths and improvement potential

Listing of strengths, as presented in the closing meeting
 Very experienced and dedicated and knowledgeable workforce
 Well defined in process and final product test

Excellent traceability of product is maintained by printing the Julian date of the product on every bag produced. Also the manufacturer's batch number of the bags is printed on every bag and the correlation between product lot number and bag batch number is maintained. Therefore if a question arises either with the product or with the bag traceability records exist

Listing of improvement potential, as presented in the closing meeting
 The organization may wish to consider expanding the current initiative to streamline data entry in the lab area by the use of tablets/secure database so data may be entered directly into the system thereby eliminating the need for writing the data in a log book and after transcribing
 The organization may wish to consider a more stringent system to prevent the use of obsolete documents

2.7 DQS Best

- Below is a detailed evaluation of the maturity of your management system on a scale of 1 to 10.

		Assessed criteria	Result	1	2	3	4	5	6	7	8	9	10	
Plan	1	Management by objectives and planning	<p><i>This detailed analysis was not applied, because the organisation did not yet participate in DQS Best.</i></p> <p><i>Upon request, the next audit can include this analysis, including important DQS Best information.</i></p>											
	2	Management system and processes												
	3	Organisation and resources												
	4	Human resource management												
Do	5	Operational processes												
	6	Communication with customers												
	7	Design, development and purchasing												
Check	8	Measurement and analysis of results												
	9	Evaluation of results												
Act	10	Corrective action												
	11	Continuous improvement												
Average result:														

3 Assessment results

ISO 9001:2008

Current scope of registration:

The manufacture of aluminum based products, iron based products, other water treatment chemicals, polymers, additives, specialty blends and sodium nitrate to specifications agreed upon with Chemtrade Chemicals US LLC Parsipanny NJ including design and development. The supply of aluminum based products, iron based products and other water treatment chemicals to other Chemtrade Water Chemical plants and the procurement, storage and delivery of sulfuric acid which may be procured from sources that are not ISO registered

The top level Management System manual and related management system documentation were reviewed and found to conform to all applicable standard requirements for documentation.

Current revision of manual: 10/10/03

Yes No

Remarks:

The management system is effective and fulfils the requirements:

Yes
 Only partly – see corrective action plans
 No – see corrective action plans

Number of findings:

Major nonconformities: 0

Minor nonconformities: 1

On site verification of nonconformities needed via follow-up / special assessment:

Yes No

The agreed corrective actions of the previous assessment are

Effectively implemented
 Not effectively implemented
 Remarks: No action requests from last assessment
 This appraisal is not applicable.

The current registration certificate was reviewed and found to be accurate.
 expiration date: 14-Oct-2015

Yes No

Remarks: Certificate is accurate

The Registered Firm Mark & Accreditation Body Marks are being used appropriately.

Yes No

Remarks: Mark not used

4 Order and assessment process data

4.1 Order data

Name of the company: CHEMTRADE CHEMICALS US LLC

Main address: 1421 Willis Avenue
Syracuse, NY 13204

Ref. No.: 10004125

Order number: SO135191US

Date of audit: 28-Apr-2014 to 29-Apr-2014

Total number of person-days (PD): 2.00

Date of system analysis: (if applicable) to

SIC / IAF / EA / NACE Code: (Primary) 2819 Industrial Inorganic Chemicals

SIC / IAF / EA / NACE: (Secondary, as applicable)

SIC / IAF / EA / NACE: (Secondary, as applicable)

Exclusions, if applicable None -Design and development function is not performed at this site (*please specify*)

Number of employees currently covered by registration at main site:

4.2 Management and contact persons

Top Manager at site: Joe Lockwood

Telephone: +1 315 487 4289

E-mail: jlockwood@chemtradelogistics.com

Management Representative: Bill Freytag

Telephone: 315 487 4023

E-mail: wfreytag@chemtradelogistics.com

Audit Team Leader: Christopher James

Telephone: 631 335 8285

E-mail: christopher.james@us.dqs-ul.com

Additional Auditor:

Telephone:

E-mail:

Customer Service of UL DQS: David Burkhead

Telephone: +1 847 279-3327

E-mail: David.Burkhead@us.dqs-ul.com

4.3 Audit data

Audited sites and sampling basis

Site: Syracuse

Ref. No.: 10004125

Shifts: 3

Main business/processes at location, please specify: manufacturing

	Actual	Number interviewed	In %
Executive managers	1	1	100
Other employees	29	14	48
Total	30	15	50

Remote Locations and Additional Sites:

<p>1) Corporate HQ – Parsippany 90 East Halsey Road Parsippany, NJ 08054 Don Keck 973-515-1808 Cell 973-723-0744 Headcount 1</p>	<p>*Note – there are no audit activities performed at site #1 – Parsippany. This is the address on the cert only, and billing address. All sites listed below, except #36 (which is Design) Perform production processes only</p>	
<p>2) Ashdown Works 920 East Main Street Ashdown, Arkansas 71822 Chad Burrow 870-898-5088 Headcount: 5</p>	<p>3) Pine Bluff Works 1615 Celia Road Pine Bluff, Arkansas Mark Garner 870-534-5235 Headcount 4</p>	<p>4) Bay Point Works 501 Nichols Road Pittsburg, California 94565 Joel Lodics 925-458-7366 Headcount: 4</p>
<p>5) Denver Works 5075 East 50th Ave Denver, Colorado 80216 720-941-6084 Robert Humphrey Headcount 3</p>	<p>6) Jacksonville Works 5930 Soutel Drive Jacksonville, FL 32219 904-765-5344 Peter Dalve Headcount 4</p>	<p>7) Port St. Joe Works 281 Chemical Drive Port St. Joe, FL 32456 850-229-8279 Donnie Kelly Headcount 1</p>
<p>8) Tampa Works 3004 East Clark St Tampa, FL 33605 813-248-1643 Paul Spisak Headcount 3</p>	<p>9) Atlanta Works 1427 Central Ave East Point, GA 404-761-1181 Andre Tucker Headcount 4</p>	<p>10) Augusta Works 1580 Columbia Nitrogen Dr Augusta, GA 30901 706-724-0221 x120 John Odom Headcount 5</p>
<p>11) Cedar Springs Works Hwy 273 West Cedar Springs, GA 31732 229-372-4581 Steve Amerison</p>	<p>12) Macon Works 4652 Mead Road Macon, GA 31206 478-788-4292 Roan Williams</p>	<p>13) Savannah Works 211 Brampton Road Savannah, GA 31408 912-964-0464 Gary Griffin</p>

Headcount 1	Headcount 4	Headcount 5
14) East St. Louis 2500 Kings Hwy East St. Louis, IL 62201 618-271-2430 Brian Wiese Headcount 23	15) Detroit Works 800 Marion Ave River Rouge, MI 48218 313-842-5222 Kenneth Hayes Headcount 4	16) Newark Works 330 Doremus Ave Newark, NJ 07105 973-589-5300 Matt Cusumand Headcount 2
17) Syracuse Works* 1421 Willis Ave Syracuse, NY 13204 315-487-4023 Mike DiCarlo Headcount 27	18) Middletown Works 305 Richmond Street Middletown, OH 45042 513-422-6319 Steve Combs Headcount 4	19) Johnsonburg Works Ridgeway Road Johnsonburg, PA 15845 814-965-4118 Randy Welder Headcount 1
20) Catawba Works 5424 Cureton Ferry Road Catawba, SC 29704 803-324-1176 Samuel Harris Headcount 3	21) Dalhousie Blair Malcom Road Dalhousie, New Brunswick Canada James McCreedy 506-684-4212 Headcount 2	22) Springfield Plant 1801 West Hillcrest Drive Springfield, TN 37172 615-384-4676 Eric Walls Headcount 3
23) Covington Works 607 N. Magazine Ave Covington, VA 24426 540-962-6444 Mark Hank Headcount 3	24) Hopewell Works 511 East Plant St Hopewell, VA 23860 804-541-0261 Tim Link Headcount 6	25) Vancouver Works 2611 W 26 th St Extension Vancouver, WA 98660 360-693-2537 Francis Buckmiller Headcount 2
26) Menasha Works 388 Ahnaip St Menasha, WI 54952 Tim Normington 920-722-6425 Headcount 3	27) Wisconsin Rapids 311 12 th Avenue South Wisconsin Rapids, WI 54495 715-423-0430 Tasin Malik Headcount 3	28) Thorold 1686 Beaverdams Road Thorold, Ontario Canada Ron Holden 905-227-1532 Headcount 11
29) Barnet 8655 Barnett Highway Barnet, British Columbia Canada Bill Davidson 604-936-7272 Headcount 1	30) Nellie Lake Highway 11, Iriquois Falls A Nellie Lake, Ontario Canada Bob Frank 705-232-4083 Headcount 1	31) Valleyfield Clark Island Valleyfield, Quebec J6S 5G5 Canada Gilbert Dumoulin 450-373-7570 Headcount 8
32) Toledo Works 1661 Campbell Street Toledo, OH 43607 Rick Ryan 419-255-0193 Headcount: 5	33) Indianapolis Works 1598 South Senate Avenue Indianapolis, IN 46225 John Carr 317-917-0319 Headcount: 6	34) Terrell Works 503 East Grove Street Terrell, TX Frank (acting) 972-563-3301 Headcount:2

35) Thunder Bay 145 McDougal Street Thunder Bay, Ontario Canada Darien Prieston 807-345-7643 Headcount 1	36) Berkeley Heights (R&D) 235 Snyder Ave Berkeley Heights, NJ Levi Grove 908-795-1852 Headcount 2	
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Date Agenda sent to Client: 22-Mar-2014

Audit sequence: The audit schedule was maintained
 The audit schedule was altered as follows:

Closing meeting:

A closing meeting was performed with the organization's management. Audit results were presented, explained and, where necessary, discussed. Findings and corrective action plans were agreed upon with the respective managers, as necessary.

5 Next steps

5.1 Activities of the customer

Corrective actions:

- Corrective actions not necessary
 Corrective actions will be implemented and reviewed for effectiveness as agreed by 29-May-2014

Opportunities for Improvement:

Identified improvement potential will be evaluated internally and incorporated into the continual improvement process if deemed beneficial.

Nonconformities, identified during an audit, shall be closed with evidence of effectiveness within defined time lines. Otherwise, certificates may be put on hold or be withdrawn.

5.2 Activities of UL DQS

Type of next assessment:

- Surveillance assessment
 Recertification assessment
 Other assessment

Next assessment data:
(non-binding estimate of person days)

Planned date for next assessment: TBD by sampling plan
(week or month, if appropriate)

For 2 person-day(s)

By 1 auditor(s)

Main emphasis will be on the following subjects:

manufacturing

Customer requests:

- Information on
 Quotation for
 Telephone call from Customer Service Representative

Additional remarks:

5.3 Identified need for change

Basic data changed?

- Yes No

6 Additional documents

- Findings with corrective action plan
(the customer at the end of the audit supplied by the Auditor) Number: 1

For internal use only:

- Basic data Number:
- Basic data –standards [if appropriate] Number:
- Auditor notes / Audit record
- Further specific documents for standards
[if appropriate for Medical, Automotive]
- List(s) of participants - closing meeting
- Reviewed draft certificate(s) [if appropriate] Number:
- Others

Report prepared on Lead Auditor Christopher James
Standard ISO 9001:2008

For integrated audits Auditor
Standard

Date

Technical review on behalf of UL DQS

Confidentiality

The contents of this report and all information received in association with the audit of the subject company will be maintained in the strictest confidence by the members of the audit team and by UL DQS, in accordance with prior agreements.

Distribution

UL DQS
CHEMTRADE CHEMICALS US LLC

Action Plan

No. 1 of 1

Ref. No. 10004125

1. Finding		to be filled in by Auditor	
Standard	ISO9000-2008	Requirement(Reference)	7.6
Process/Area	Production		
<p>Not all monitoring and measuring devices are calibrated or verified</p> <p>Per ISO9000:2008 monitoring and measuring devices needed to provide evidence to product conformity shall be calibrated or verified or both at specified intervals</p> <p>Out of seven devices reviewed, two were found with calibration due dates past</p>			
2. Classification		to be filled in by Auditor	
Minor nonconformity nc2	<input checked="" type="checkbox"/>	Major nonconformity NC1	<input type="checkbox"/>
Charged	<input type="checkbox"/> no, Chapters 1-6 <u>must lately</u> be filled in until end of assessment (within 5 working days after the last assessment-day)		
Follow up audit necessary:	<input type="checkbox"/> yes, document review (off-site, charged with min. ½ daily fee)		
	<input type="checkbox"/> yes, on site (effort required will be charged)		
Date	29-Apr-2014	Lead Auditor	Christopher James
Finding + classification are correct	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> no	
Date	29-Apr-2014	Management representative	Bill Freytag
3. Correction(s) immediate measure		to be filled in by company	
<p>The nonconformance has not adversely affected the quality of the product produced during the 30APR13 and 30APR14 period. The immediate corrective correction will be the calibration of the monitoring and measurement devices referenced above, by Friday, 30MAY14.</p>			

Action Plan

No. 1 of 1	Ref. No. 10004125
4. Root cause of nonconformitie(s) filled in by company	
<p>Calibration of the monitoring and measurement devices in question has been the responsibility of M&I personnel within the Syracuse, NY plant. The two calibration stickers reviewed showed an expiration date of 26APR13. During that time in 2013 the M&I personnel were not available to complete the necessary calibrations and no other sources for this expertise were engaged to conduct the necessary tests.</p>	
5. Corrective action(s) to be filled in by company	
<p>The plant will engage a certified calibration organization / individual to review the calibration status of the monitoring and measuring devices referenced in the minor finding, and calibrate them by Friday, 30MAY14.</p>	
Action will be taken by (date)	30-May-2014
Date 08-May-2014	Management representative Bill Freytag
Action is suitable	<input checked="" type="checkbox"/> yes <input type="checkbox"/> no
Date 08-May-2014	Lead Auditor Christopher James
6. Evidence filled in by Auditor	
<p>Calibrated monitoring and measuring equipment will display calibration stickers that present the name of the calibrating organization, the item description, a unique alpha-numeric identification and the date of the next required calibration. Further evidence will be found in calibration certificates provided by the calibrating organization for each item that traces their calibration equipment back to a NIST standard. This supporting documentation shall be maintained by the Maintenance Supervisor.</p> <p>Above evidence is satisfactory for closure of this action request CJ</p>	
Action for closing NC1 has been implemented	
Plan for closing nc2 is suitable	<input checked="" type="checkbox"/> yes <input type="checkbox"/> no
Date 08-May-2014	Lead Auditor Chrstopher James

Schedule

Version 22-Mar-2014 Ref. no. 10004125

Company name	General Chemical LLC
Site(s)	Syracuse
Standard(s)	ISO 9001:2008
Type of audit	Surveillance audit
Audit team	Christopher James
Audit scope	The manufacture of aluminum based products, iron based products, other water treatment chemicals, polymers, additives, specialty blends and sodium nitrate to specifications agreed upon with Chemtrade Chemicals US LLC Parsipanny NJ including design and development. The supply of aluminum based products, iron based products and other water treatment chemicals to other Chemtrade Water Chemical plants and the procurement, storage and delivery of sulfuric acid which may be procured from sources that are not ISO registered
Audit language	english
Audit date	28-Apr-2014 to 29-Apr-2014
Audit criteria	Manual (name and number) Quality manual Version date 10/10/03 Number Action Plan from the previous audit 0

Audit objective(s)

Surveillance audit (System)

- Changes to the certified client and its management system
- Verify continuous management system implementation
- Review effectiveness of measures arising from the previous audit (if available)
- Confirm fulfillment of certification requirements
- Enquiries on aspects of certification (Complaints)
- Reviewing any client's statements with respect to its operations (e.g. promotional material, website)

Day 1:

Time	Subject / process	Reference	Unit / dep.	Participants	Auditors
08:00	Arrive site				
08:15	Plant tour				
09:00	Opening Meeting			Invitees	James
09:15	Quality manual, quality policy, use of UL mark, documentation requirements	4.1; 4.2.1; 4.2.2; 4.2.3; 4.2.4; 5.2; 5.3	Quality	Management rep	James
10:00	Interface with HQ – management responsibility and management review	5.4.1; 5.4.2; 5.5.1; 5.5.2; 5.5.3; 5.6.1; 5.6.2; 5.6.3	Quality	Management Rep	James
10:30	Interface with HQ – internal audits/continual improvement/corrective & preventive action	8.2.2; 8.2.3; 8.5.1; 8.5.2; 8.5.3	Quality	Management rep	James
11:00	Interface with HQ – Planning of product realization/customer related processes	7.1; 7.2.1; 7.2.3; 7.2.3	Quality	Management rep and planners	James
12:00	Lunch				
12:30	Product and service provision	7.5.1; 7.5.2; 7.5.3; 8.3	Production – shift 1	Manufacturing associates	James
14:30	Incoming inspection	7.4.3; 8.3	Warehouse/incoming inspection	Inspection associates	James
15:30	Product and service provision	7.5.1; 7.5.2; 7.5.3; 8.3	Production – shift 2	Manufacturing associates	James
16:30	Daily wrap up				
17:00	Depart				

Day 2:

Time	Subject / process	Reference	Unit / dep.	Participants	Auditors
08:00	Arrive site				
08:15	Interface with HQ - purchasing	7.4.1; 7.4.2	Planning	Planning associates	James
09:30	Product and service provision	7.5.1; 7.5.2; 7.5.3; 8.3	Production – shift 3	Manufacturing associates	James
11:30	Lunch				
12:00	Maintenance	6.3	Maintenance dept	Maintenance associates	James
13:30	Control of monitoring and measuring devices	7.6	Calibration dept	Calibration manager	James
14:30	Competence awareness and training	6.2.2	Human resources	Training manager	James
15:45	Report writing				
16:30	Closing meeting			Invitees	James

Assessment Plan

ISO 9001:2008		System Analysis	Certification or Recertification	Surveillance (6 month)	Surveillance (1st annual)	Surveillance (6 month)	Surveillance (2nd annual)	Surveillance (6 month)
Ref. No.: 10004125	Date						4/28/14 4/29/14	
Company: CHEMTRADE CHEMICALS US LLC	Lead auditor						james	
4 Quality management system								
General requirements	4.1	P	C		C		X	
Documentation requirements	4.2	P	C		C		X	
Use of UL DQS-Certificates + Symbols					P		X	
5 Management responsibility								
Management commitment	5.1	P	P		C		X	
Customer focus	5.2	P	P		C		X	
Quality policy	5.3	P	P		C		X	
Planning	5.4	P	P		P		X	
Responsibility, authority and communication	5.5	P	P		C		X	
Management review	5.6	P	P		P		NA	
6 Resource management								
Provision of resources	6.1	P	P		C		X	
Human resources	6.2		P		P		X	
Infrastructure	6.3		P		C		X	
Work environment	6.4	P	P		C		X	
7 Product realization								
Planning of product realization	7.1	P	P		C		X	
Customer related processes	7.2		P				X	
Design and development	7.3		P				NA	
Purchasing	7.4		P				X	
Production and service provision	7.5		P		P		X	
Control of monitoring and measuring devices	7.6		P				N	
Major processes and related clauses								
WET SIDE DRY SIDE LABS PACKING	7.5.1; 7.5.3; 8.3; 8.2.4						X	
8 Measurement, analysis & improvement								
General	8.1	P	C		C		X	
Monitoring and measurement / customer satisfaction	8.2.1	P	P		P		X	
Monitoring and measurement / internal audit	8.2.2	P	P		P		X	
Monitoring and measurement of processes	8.2.3		P				X	
Monitoring and measurement of product	8.2.3		P				X	
Control of nonconforming product	8.3		P		C		X	
Analysis of data	8.4	P	P		P		X	
Continual improvement	8.5.1		P		P		X	
Corrective action	8.5.2	P	P		P		X	
Preventive action	8.5.3	P	P		P		X	

Legend: P = planned; C = only in case of changes, check at Re-Assessment; N = Nonconformity; X = audited; NA = Exclusion

ISO 9001:2008	System Analysis	Certification or Recertification	Surveillance (6 month)	Surveillance (1st annual)	Surveillance (6 month)	Surveillance (2nd annual)	Surveillance (6 month)
	The lead auditor expands this planning individually.						

Objective Evidence Sampled

Ref No.: 10004125	Company: CHEMTRADE CHEMICALS US LLC	Date
Approximate number	Sample type (list record type or positions interviewed)	
12	9K family record types	
NA	Management Review Minutes	
4	Objectives and associated implementation plans	
10	Training Records	
12	Contracts / orders	
NA	Supplier evaluation records	
NA	Purchase orders / requisitions	
10	Work Orders / Travelers	
12	Maintenance records	
7	Calibration records	
NA	Design Projects	
NA	Engineering Changes	
3	Corrective Action reports	
1	Customer complaints	
1	Preventive actions	
1	Internal Audit reports	
3	Customer satisfaction records	
8	Inspection / Test records	
10	Documents for document control	
8	Employees for policy statement(s)	
	Received Shipments	
	14K family additional record types	
	Aspects list	
	Legal list	
	Internal communication records	
	External communication records	
	Contractor / Supplier communication records	
	Incident reports	
	Emergency Response Test records	

Note: This table is not meant to be comprehensive, but only to give a general outline of the audit trails and objective evidence audited. It can be replaced by auditor notes, as available.



Meeting Attendees (optional, or scanned list)

Ref No.: 10004125		Company: CHEMTRADE CHEMICALS US LLC	Date
Opening	Closing	Name	
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Joe Lockwood	
<input checked="" type="checkbox"/>	<input type="checkbox"/>	Greg Langchamp	
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Nate Lippke	
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	John Cregg	
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Bill Fraytag	
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Vic Cavacas	
<input type="checkbox"/>	<input checked="" type="checkbox"/>	Thomas Bober	
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