



1700 Diagonal Road, Suite 650
Alexandria, VA 22314
(703) 647-4611
Fax: (703) 683-4074
Email: bhirst@bottledwater.org

Memorandum

To: IBWA Bottler Members and Candidate Bottlers

From: Bob Hirst - Vice President, Education, Science, and Technical Relations
Claire Crane – Program Coordinator

Date: December, 2011

Re: 2012 IBWA Bottled Water Inspections

The International Bottled Water Association's 2012 annual plant inspection program is about to begin. The program is designed to assist you in determining how well your bottling operation complies with all applicable federal and state regulations, as well as IBWA Bottled Water Code of Practice requirements for bottled water production and sale. Once again in 2012, annual plant inspections are based on conformance with your plant's HACCP plan as well as FDA- and IBWA-mandated good manufacturing practices (GMP) requirements. Details are provided later in this memorandum.

IMPORTANT: PLEASE READ THIS MEMORANDUM CAREFULLY AND COMPLETELY. THERE IS NEW INFORMATION YOU NEED TO KNOW ABOUT NEW FDA RULES AND THEIR IMPACT ON YOUR BUSINESS AND OPERATIONS. IT IS ALSO CRITICAL THAT YOU COMPLETE AND FORWARD A BOTTLER INFORMATION FORM (BIF) OR CANDIDATE BOTTLER INFORMATION FORM (CBIF) FOR EVERY PLANT YOU OPERATE. SOME MEMBERS WHO DID NOT SUBMIT THEM IN 2011 PAID FOR A SECOND INSPECTION DUE TO UNKNOWN PLANT CLOSURES, UNREPORTED CHANGES IN PERSONNEL, AND THE AUDIT COMPANY'S INABILITY TO REACH THE PROPER COMPANY REPRESENTATIVE FOR THE 2-DAY ADVANCE NOTICE. BIFs AND CBIFs ARE DUE AT IBWA BY JANUARY 31, 2012.

ACTION NEEDED:

Please complete the attached two-page 2012 Bottler Information Form (BIF) or Candidate Bottler Information Form (CBIF) for every plant to be inspected and fax them to Claire Crane at IBWA at (703) 683-4074, or email scanned copies to Claire at ccrane@bottledwater.org. To facilitate the scheduling of your inspection, **it is advisable to return this form to IBWA before January 31, 2012.** If you operate more than one bottling facility, please duplicate the form and return ONE FORM FOR EACH PLANT. If a form is not received for each plant, the audit contractor may not be able to schedule the necessary inspections in 2012. Please note also that inspection fees may be based on the date the BIF/CBIF is received by them.

IMPORTANT NOTES:

1. Your annual IBWA dues do not cover the base inspection fee provided in the inspection contracts. You must add the applicable inspection fee(s) to your dues payment.
2. Your annual inspection fee covers ONE TRIP to your facility by the audit company. The fee does NOT cover the cost of a second visit to your facility(ies) if the first inspection is canceled. Members are billable for a rescheduled inspection, and will incur another audit fee plus the auditors' travel expenses for subsequent visits after a canceled audit.

SIGNIFICANT CHANGES TO 2012 INSPECTION PROGRAM

Although not yet implemented at the beginning of the year in 2012, FDA's implementation of the **Food Safety Modernization Act** through publication of new rules in 2012 and beyond will have some impact on IBWA's inspection program. The first rules, including one on preventive measures (HACCP), are expected to be published in January or February, 2012. Once their accompanying FDA guidance documents become available, IBWA staff and the Audit Program Evaluation Team (APET) will review them and modify the IBWA audit checklist and handbook as necessary. FDA has also advised us that, in addition to new rules for preventive measures, they will incorporate updated rules for current Good Manufacturing Practices into the FSMA rules. These too will be incorporated into IBWA's inspection checklist and handbook. We anticipate the final rule's impacts on the IBWA inspection program to begin with the 2013 or 2014 inspection year.

Perhaps the single most significant change that is coming with FSMA, and was already in place beginning October, 2011, is fees that allow[s] FDA to charge food processors for re-inspection of facilities that are found to be deficient during the routine first inspection. IBWA has investigated the impact of those fees on bottled water companies and advises members that they can be substantial. For example, IBWA has estimated that a single re-inspection of a bottled water plant may cost that plant's owners in excess of \$20,000, including permitted charges for travel expenses and an hourly rate of \$224 for every FDA full time employee involved in the re-inspection. FDA could send as many as 3 to 5 employees for the re-inspection. In addition, if the deficiency is serious, warranting a recall of product, FDA is now permitted to charge fees associated with their costs incurred in recalling the product.

How can a member avoid these significant new fees? IBWA urges members to do the following:

1. Educate yourself about FSMA and its potential impacts on your business. IBWA provides articles in the Bottled Water Reporter, the weekly News Splash, and the Front Line newsletter. We also present live seminars at state/regional association meetings, standalone seminars around the country, and at our annual business conference in September/October. New webinars on FSMA will be produced in 2012.
2. Conduct SELF AUDITS of your facility(ies) on a regular basis. Making self audits a part of your routine quality assurance program help assure that when the FDA or state inspectors come through your door, you have already found and mitigated any serious deficiencies. IBWA's Audit Handbook and our audit checklists (found in the appendix section of the handbook) are available to you. If you do not have a copy, contact Claire Crane at ccrane@bottledwater.org for a copy.

IBWA entered into two new contracts for Tier 1 audit services beginning January 1, 2011 for a term of three years. The two companies now providing annual audit services are NSF International and NCSI Americas/QUASI. See Appendix C in this document for more information about each company.

Please be advised of a continuation in 2012 of a change in policy regarding submission of bottler information forms, aka "BIFs." In the past (prior to 2011), IBWA refrained from authorizing an audit, until we received a completed BIF form from each facility to be audited, even if we had received payment for the audit from the bottler member. However, we had significant difficulties obtaining these forms from many facilities. The lack of a

BIF form to serve as IBWA's authorization for the audit often resulted in audits not being completed, completed very late in the year, or spilling over into the next audit year. Beginning in 2011, IBWA used receipt of payment for the audit as full authorization to proceed with the annual audit(s) of your plants. We still request that each facility submit a BIF to make the process most accommodating to all, but in the absence of a BIF after 30 days of receipt of payment, will be considered authorization by the member for the plant audit. Of course, if you wish to block certain dates due to construction activity or other plant shutdowns, please continue to complete the BIF and note such on the form, and submit to IBWA as soon as possible. As always, we will pass that information on to the audit contractor.

In 2010, IBWA introduced a new two-tier inspection program that continues with the traditional inspection program that you have known, now called **TIER 1**. The addition to the program, called **TIER 2**, is open to any IBWA member bottler who achieves certification under a Global Food Safety Initiative (GFSI) certification program, such as Safe Quality Food (SQF) or British Retailers Consortium (BRC). IBWA has screened GFSI audit service companies and has approved six of them for IBWA Tier 2 audits: Guelph Food Technology Centre (GFTC), NCSI Americas, NSF International, SGS Systems & Services Certification, Steritech Group, and TUV SUD America. More information regarding these companies, including contact information, is provided on page 10 of this document. Please be aware that these companies have agreed to incorporate IBWA's audit requirements into their GFSI-based audits, and therefore are the only companies that may be used for Tier 2 audits.

Tier 1 Inspections

IBWA entered into two new inspection three-year term contracts, effective January 1, 2011 through December 31, 2013. During this new contract, IBWA bottler members and candidate bottlers may select either NSF International (NSF) or NCSI/QUASI for Tier 1 inspections. If a member company has multiple facilities, they may select either of the two vendors for each of those facilities. In addition, if a bottler decides to change vendors each year, they are free to do so. Bottlers will select their inspection vendor at the time they renew their memberships for 2012. The vendor selection will be included on the renewal form and the bottler information form (BIF).

The membership renewal form accommodates the two vendors. Once again with membership renewals in 2012, the IBWA dues amount is separate from the cost of the inspection.

TIER 1 INSPECTION FEES FOR 2012

The inspection fees, payable by members to IBWA and, in turn, paid by IBWA directly to the inspection vendors, are as follows:

NSF International: \$1,320.00

NCSI/QUASI: \$1,210.00

NOTE #1: The prices above include any fees paid by IBWA to the contractors for administrative costs for Tier 1 inspections only.

NOTE #2: The amount above is for the annual inspection ONLY. Membership dues will be IN ADDITION TO the above amounts.

These are prices for Tier 1 inspections only. Tier 2 audit costs are negotiated directly by the member company with the Tier 2 audit provider. Please contact that provider for a cost estimate. If you have any questions, please contact Bob Hirst (bhirst@bottledwater.org) or Claire Crane ([ccrane@bottledwater.org](mailto:crcrane@bottledwater.org)).

IMPORTANT: Space is provided on the first page of the BIF to indicate events that could affect scheduling of the 2012 inspection. Please note that an inspection may be conducted during these periods if bottling operations are still occurring.

Included in this package is the *2012 IBWA Inspection Evaluation Form*. Please retain this form until your plant is inspected, at which time we request that you complete the form and return it to IBWA's technical department. The information obtained by IBWA from this form is invaluable in assessing the inspection program and is used in identifying areas for improvement. A composite of the information is shared with the contractor's inspection staff at our annual inspection program meeting with the contractors.

You will find a form that requests an updated brand list from your company. The brand list is a very popular item for consumers and reporters and assists IBWA staff in publicity matters, including consumer inquiries regarding IBWA membership and meeting Model Code requirements. We would very much appreciate an update on your company's brand offerings.

THE IBWA HACCP INSPECTION PROGRAM

The International Bottled Water Association (IBWA) requires, as a condition of membership, that bottlers submit to an annual inspection of their facilities. Since 1984, the annual inspection has focused on requirements of 21 CFR Parts 110, 129, and 165 as well as the IBWA Bottled Water Code of Practice ("Model Code"). The inspections have been conducted by a third party organization contracted by IBWA. The primary purpose for the annual inspections has been to verify compliance with GMP and other requirements specified in the above regulations. Beginning in 2002, the Hazard Analysis and Critical Control Point (HACCP) approach to food safety was implemented by IBWA, and annual inspections now include a review of each member company's HACCP program, as well as GMP compliance. IBWA's voluntary implementation of HACCP in the bottled water industry is based partially on HACCP regulatory requirements set by the Codex Alimentarius Commission, the U.S. Department of Agriculture and FDA.

THE IBWA AUDIT HANDBOOK (TIER 1 ONLY)

A Tier 1 inspection handbook was prepared for you, the IBWA member, to assist you in preparing for your plant's annual HACCP inspection. IBWA has also provided the handbook to its inspection contractor to assist them in interpreting FDA and IBWA requirements and their application to bottled water facilities. The handbook also serves to provide you with the means to conduct self inspections, an important part of any plant's HACCP program. Self inspections help prepare you and your facility for inspections by IBWA's contractor as well as government representatives.

When IBWA's inspector notes nonconformances (previously known as "deficiencies") during your inspection, you should implement any necessary corrective action to return your plant into conformance/compliance with your HACCP plan and any applicable regulatory requirements.

Preparing for an Inspection

As was mentioned earlier, the best method to prepare for any HACCP inspection is to conduct a series of self inspections of your facility(ies). Meet with your quality assurance and production staffs and with your HACCP team on a regular basis. It is important, whenever feasible, to prepare more than one individual in the company for the inspection. If, when the inspector arrives, no one is available to work with the inspector, and the inspector is turned away at the door, it may be a costly error as your company will be charged for any rescheduled inspections. It is critically important to train two or more company employees in handling the inspection, including the HACCP plan and location of all supporting records that will be requested during the inspection.

All materials necessary to conduct your own self inspection are included in this handbook, including an inspection checklist, item-by-item discussion, and applicable regulations.

Tier 1 Inspection Program Administration

The inspection is designed to be carried out in a constructive, consultative manner. *This is not a regulatory inspection*; the inspector is not authorized to shut down your operations. However, if a serious food safety or

operational matter is brought to your attention during or after the inspection, you should take immediate steps to correct the nonconformance(s).

The inspection checklist form (copy included in the *IBWA Audit Handbook*) includes approximately 90 items. Of those 90 items, 26 are directly linked to your HACCP program; 16 are linked to HACCP-related GMPs; 43 are GMP requirements as mandated by FDA and IBWA; and 5 are requirements for membership in IBWA.

The inspector will generally start with a review of your plant's HACCP plan. He/she will usually tour the plant to verify the process flow diagram, then return to an office area to continue review of the HACCP plan and associated records. Upon completion of the plan and record review, the inspector will proceed into the plant to verify information presented in the HACCP plan and to conduct the GMP portion of the inspection. When completed, the inspector will return to the office for report generation and debriefing with the plant representatives.

The inspector should encourage you to ask questions during the inspection. Don't be afraid to ask questions; remember, this is a constructive, consultative event! You should take your own notes during the inspection, including the inspector's suggestions and recommendations as well as issues that you may wish to discuss during the debriefing. If you have any questions that cannot be answered by the inspector, you should contact IBWA's Vice President of Education, Science, and Technical Relations at (703) 647-4611 for assistance. Issues that require further consideration may be referred to the IBWA Audit Program Evaluation Team (APET).

After the inspection is completed, the inspector will conduct a debriefing session. At that time, a list of nonconformances is provided to the plant's representatives. The inspector will provide Corrective Action Report (CAR) forms with a brief explanation of each nonconformance and space for the company's root cause analysis and corrective action. The company has up to ten (10) business days to complete the forms and submit them to the audit contractor to comply with the terms of the inspection program.

There are two types of nonconformances employed in the IBWA inspection program:

HACCP, GMP, and IBWA Membership Major Nonconformances

Major nonconformances (Mj) are generally equivalent to a "critical deficiency" under the former GMP inspection program. IBWA and its third party inspection contractor have determined that these items are directly related to compliance with your HACCP plan or to food safety. Items cited as "Mj" must be corrected as soon as possible. The plant is required to perform a root cause analysis of the problem and record the results of that analysis on the Corrective and Preventive Action Report form (CAR-1) provided by the inspector. When the root cause is determined, the plant is required to BRIEFLY, but as specifically as possible, explain on the form what corrective action has been, or will be, implemented. Mail or fax a copy of the CAR-1 form to **the audit contractor** within 10 business days after the date of the plant inspection.

HACCP and GMP Minor Nonconformances

Minor nonconformances (Mn) are generally other GMP and administrative items for which corrective action is necessary. Corrective action for items cited as "Mn" are not required to be reported to the audit services company.

While HACCP inspections are intended to focus on more of a "black and white" approach to "conformance" or "nonconformance" with a plant's HACCP plan and GMPs, every effort will be made to accommodate concerns over variability in interpretation of the requirements. However, that accommodation will be focused more on the IBWA Audit Program Evaluation Team (APET), whose function it is to rule on areas of dispute. APET will generally concentrate on issues that affect the industry as opposed to rulings on individual plant matters. For example, APET is more likely to become involved in rulings on where weekly source samples may be collected rather than the condition of a source water tanker at a specific facility.

As has been the case since 2005, IBWA's technical staff no longer receives your plant's audit report or other materials, such as annual water quality analysis reports and labels. The IBWA Board of Directors established this

new policy as a means of protecting the privacy of your audit reports. If, however, you wish IBWA staff to be involved in a discussion of your report, you may, at your option, forward a copy of your report to staff. In addition, a formal procedure for appealing audit findings reported by the auditors has been established and published. A copy of that procedure follows this memorandum. In brief, the procedure provides a pathway for IBWA members to appeal audit findings directly to the audit contractor – another means of protecting private information. If a satisfactory resolution to your appeal is not achieved, you may then contact Bob Hirst or Claire Crane at IBWA to appeal the finding through the IBWA Audit Program Evaluation Team (APET). APET is charged with overseeing the audit contract and resolving any “gray areas” or other audit program issues.

IBWA HACCP inspection reports are not assigned a numerical score. Rather, they are evaluated on the basis of “conformance” or “nonconformance” with the plant’s HACCP plan and regulatory GMPs. However, IBWA employs a system that continues to recognize plants that demonstrate “Excellence in Manufacturing” and acknowledges those who are in compliance with GMP requirements and their HACCP plans. In order to qualify for certificates, the following guidelines have been established:

Excellence in Manufacturing

If a plant’s inspection findings exhibit no major nonconformances and three (3) or fewer minor nonconformances, the plant will be awarded a certificate for “Excellence in Manufacturing.” A list of all plants awarded the certificate will be published at the end of each inspection year.

Certificate of Compliance

If a plant’s inspection findings exhibit no major nonconformances and from four (4) to ten (10) minor nonconformances, the plant will be awarded a “Certificate of Compliance.” The certificate acknowledges that the plant is in compliance with its HACCP plan. A list of all plants awarded the certificate will be published at the end of each inspection year.

If you have any questions regarding the BIF form, the inspection program, regulatory compliance, or HACCP, please contact Claire Crane or me at (703) 683-5213. We look forward to another successful year of inspections in 2012!

APPENDIX A
INTERNATIONAL BOTTLED WATER ASSOCIATION
POLICY AND PROCEDURE
IBWA BOTTLED WATER PLANT INSPECTION PROGRAM
APPEAL OF INSPECTION FINDINGS

OBJECTIVE

The IBWA Bottled Water Plant Inspection Program was established to provide consultative services to IBWA member bottled water plants. It is also a requirement of IBWA membership that each domestic member plant be inspected by IBWA's third party inspection contractors, and that direct international bottler members be inspected annually by an IBWA-approved inspection agency. On occasion, a member plant may wish to appeal one or more of the inspector's findings. Through this policy and procedure, IBWA is establishing a structured and standardized means for appealing those inspection findings.

POLICY

It is the policy of the International Bottled Water Association that all U.S domestic and direct international bottler members participate in the annual Bottled Water Plant Inspection Program. IBWA understands that there are occasions when a bottler disagrees with an inspector's finding(s). IBWA contracts with an independent, third party inspection agency to provide inspections services of IBWA's member plants. It is therefore NOT the policy of IBWA to "reverse" inspection findings and modify inspection reports. IBWA will serve as an arbiter in some cases to assist in resolving conflicts between the member and the inspection agency. In most cases, it is preferred that the member consult directly with the inspection agency to resolve conflicts.

Some conflicts lead to appeals of inspection findings. To provide members a means for appealing those findings, IBWA is establishing a formal process, described in the following sections.

PROCEDURE FOR U.S. DOMESTIC BOTTLERS

When a U.S. domestic bottler member disagrees with an inspection finding, the first course of action should be to complete and submit an inspection appeal form directly to the audit contractor. The contractor will in turn consult with the inspector who conducted the inspection and filed the disputed finding(s).

In the event that the conflict cannot be resolved, the bottler may appeal the finding(s) to IBWA. This can be accomplished by sending a copy of the inspection appeal form (copy attached to this policy and procedure document) providing details about the disputed inspection item, and submitting it to designated IBWA technical staff. Upon receipt, IBWA's technical staff will review the appeal. Staff will first review the IBWA *Inspection Handbook* to determine if there is an applicable ruling on the situation surrounding the appealed inspection item. This will include review of any gray areas ruled upon by the IBWA Inspection Program Evaluation Team (APET). If the appealed item has already been addressed by the *Inspection Handbook* or APET, the bottler will be notified in writing of that ruling. If the appealed item has NOT been addressed previously by the Inspection Handbook or APET, the bottler will be notified that the appeal is being forwarded to the third party agency and APET for review, consideration and possible ruling. These types of appeals are commonly referred to as "gray area" items. IBWA technical staff will distribute the appeal to all members of APET, with all identification of the member bottler removed, with a request that they return their opinions on the matter. In many cases, IBWA technical staff and APET members will schedule a conference call to discuss groups of appeals. Such conference calls may also involve a representative of the third party, independent inspection agency. Upon receiving a ruling from APET, IBWA

technical staff will notify the bottler. If corrective action is required to correct any major nonconformances, staff will request such from the bottler.

When an appeal results in a change in an inspection report, audit contractor staff will issue a revised inspection report. The corrected report will be sent directly to the bottler by the contractor.

It is the intent of this policy to address all appeals expeditiously. Therefore, once filed with the audit contractor, the contractor will have 10 business days to review the appeal and respond to the bottler with a finding. When the appeal is filed with IBWA's technical staff, they will distribute the appeal anonymously to APET. APET will have 10 business days from the date of receipt of the appeal by IBWA's staff to review the appeal and respond to IBWA technical staff with a ruling on the issue. APET's rulings will require a minimum of 4 votes for approval. IBWA staff will respond to the bottler with the final APET ruling no later than 30 days after the date the bottler's appeal was filed.

DIRECT INTERNATIONAL BOTTLER MEMBERS

The same policy and procedure applies to direct international member plants. However, when reviewed by APET, they will take into consideration any local regulations that may have led to the nonconformance being cited by the inspector. When completing an appeal form or submitting the appeal on company letterhead, direct international bottler members are requested to submit evidence of such local regulations with the appeal form.

Document prepared by: Bob Hirst, IBWA

Document reviewed by: Bob Hirst, IBWA

IBWA Audit Program Evaluation Team

NSF International

Date: January 26, 2004

Revision 6.0, December 6, 2007

IBWA BOTTLED WATER PLANT INSPECTION PROGRAM

Appeal of Inspection Findings

Name: _____ Company: _____
Plant Location: City: _____ State: _____
Inspection Date: __/__/__ Inspector Name: _____
Inspection Agency/Company: _____

Appeal of Inspection Findings

Inspection Form Item No. Appealed: _____
Inspector's Comments: _____

Reason for Appeal: _____

Appeal of Inspection Findings

Inspection Form Item No. Appealed: _____
Inspector's Comments: _____

Reason for Appeal: _____

APPENDIX B

2012 IBWA TIER 2 AUDIT PROGRAM LIST OF IBWA-APPROVED TIER 2 AUDIT PROVIDERS

Mr. Frank Schreurs
V.P. - Food Safety & Quality Services
Guelph Food Technology Centre
88 McGilvray St.,
Guelph, ON, N1G 2W1 Canada
Phone: 519.432.9494
Cell: 519.318.8314
E-mail: gftc@gftc.ca
www.gftc.ca

Mr. Ben Marchant
NCSI Americas Inc.
Level 1, 1100 Dexter Avenue North
Seattle, WA 98109
Phone: (206) 618-5560
Email: ben.marchant@ncsiamericas.com
www.ncsiamericas.com

Mr. Chris Dunn
General Manager, Beverage Quality
NSF International
P.O. Box 130140
789 N. Dixboro Road
Ann Arbor, MI 48113-0140, USA
Phone: 404.355.6450
Cell: 734.945.4104
Email: dunn@nsf.org
www.nsf.org

Mr. Mark Evers
SGS Systems & Services Certification (SSC)
Business Development Manager, Northeast Region
SGS U.S. Testing Company, Inc.
Meadows Office Complex, 201 Route 17 North
Rutherford, NJ 07070
Phone: 201.508.3011
Cell: 201.400.6048
Fax: 201.935.4555 or 201.508.3191
Email: mark.evers@sgs.com

Ms. Beth Cannon
Director of Certification Services
Steritech Group
7600 Little Avenue
Charlotte, NC 28226
Phone: 704.544.1900
www.steritech.com

Mr. David Dougherty
Sr. Business Development Manager
Management Systems
TÜV SÜD America
10 Centennial Drive
Peabody, MA 01960
Phone: 978-573-2575
Fax: 978-977-0182
E-mail: ddougherty@tuvam.com
www.tuvamerica.com

APPENDIX C

***IBWA TIER 1 AUDIT CONTRACTORS
JANUARY 1, 2011 – DECEMBER 31, 2013
COMPANY INFORMATION***



NCSI AMERICAS/QUASI

NCSI Americas in association with QUASI are proud to introduce ourselves as an IBWA approved Certification Body, conducting both tier 1 and tier 2 audits. This provides all IBWA members who are required to have a food safety audit a broader choice in their audit provider.

The IBWA approval recognizes our expertise within the water industry and builds upon our years of experience in water testing and certification within bottled water plants. We're excited to be part of the certification scheme, and we'd like to ask you to consider using our service.

Our advantage is based around the four main points of **service, value, quality** and **availability**. While holding ourselves to the absolute highest standards in the quality of our work, we commit to ensuring our services are cost competitive and represent high value. And while audit services and auditors are in high demand throughout North America we maintain a large pool of auditors to ensure that we have excellent auditor availability for our clients.

We also offer a range of other services, including public and in-house training, online publications such as self-assessment checklists and guidance documents. Our services are built to complement each other, and we aim to support our clients with their compliance requirements.

NCSI Americas have been in operation in North America for the past 10 years and is part of NCS International, a global Certification body, certifying organizations against retailer and GFSI standards. This background makes for a perfect relationship with QUASI, who bring vast experience of the water bottling industry to the audit process.

We welcome this opportunity to earn your business. For more information on our services and the benefits we can bring to your 2011 audits contact us at: 1 877-285-6554, or visit www.ncsiamericas.com/ibwa.



NCSI Americas Inc

NSF INTERNATIONAL

For more than 25 years NSF and IBWA have been partners in helping to make the IBWA Plant Inspection Program a key influencer in assuring the high quality of bottled water produced by members and sets the bar for other associations around the world.

Water is one of NSF's core businesses. For more than 65 years we have developed professional expertise in all aspects including treatments, disinfection devices, plumbing, dispensing equipment, washers and filling machines. Our experience has been built over decades with IBWA and has resulted in unmatched expertise in the workings of bottled water facilities, equipment, processes and sanitation.

As a nonprofit third-party and high profile member of the public health community, NSF has developed public standards, worked with the US Food and Drug Administration on food and water safety and is a collaborating center for the World Health Organization. We believe NSF offers the IBWA Audit Program added credibility and public acceptance.

Additionally, our work in drinking water laboratory analysis, toxicology, and HACCP audit/registration bring a unique background and perspective to review process controls. No other organization can bring to bear this level of knowledge to the IBWA Audit Program.

In addition to the regular Inspection Program, NSF is also approved to offer the Tier 2 Inspection for any IBWA member who wishes to have their Plant Inspection done in conjunction with their Global Food Safety Initiative Program (SQF, BRC or FSSC 22000). Contact NSF directly to schedule this type of inspection.

Auditor Qualification

NSF's Auditors have food safety, environmental health, or science backgrounds have been trained to perform bottled water inspections. The majority are registered sanitarians. NSF does not use other agencies or organizations as sub-contractors or audit partners in North America for our bottled water business. NSF's staff Auditors and Managers share more than 350 years of professional experience and have performed thousands of bottled water audits.

NSF Accreditations

NSF is accredited by ANSI (American National Standards Institute). Among our many accreditations are:

- Product Certification Accreditations (ISO Guide 65) from ANSI (American National Standards Institute) and SCC (Standards Council of Canada)
- Inspection Agency Certification Accreditation (ISO 17020) from International Accreditation Service (IAS)
- SQF (Safe Quality Foods) from ANSI
- BRC (British Retail Consortium) from ANSI
- QAI Organic Certification from USDA
- ISO 9001, 14001 & 22000 from ANSI-ASQ National Accreditation Board
- ISO 17025 & NELAC Laboratory Certification

NSF Online

NSF Online is the 24/7 secure web Portal that provides total access to each IBWA member to view and download all their audit and test reports as well as submit Corrective Actions.

Auditor Training

NSF auditors that are chosen to audit for the IBWA program must undergo training specific to IBWA requirements. The process involves classroom training followed by field training and shadow audits. Auditors are trained to familiarize themselves with past non-conformances and to verify that corrective action has been implemented. Auditor training is reinforced every year through additional classroom sessions and calibration.

NSF Support

NSF has a Project Manager as the point contact for the IBWA Audit Program. This liaison is in regular contact with IBWA Staff to communicate audit status and any issues that may arise on either side, as well as being available directly to any IBWA member.

Contacts for bottlers are:

- Myla Estacio, Senior Certification and Technical Manager, Beverage Quality – (734) 913-5738 – mestacio@nsf.org
- Chris Dunn, General Manager, Beverage Quality – (734) 827-5684 – cdunn@nsf.org

APPENDIX D

2012 IBWA BOTTLER INFORMATION FORM 2012 IBWA CANDIDATE BOTTLER INFORMATION FORM

Please complete the attached two-page 2012 Bottler Information Form (BIF) or Candidate Bottler Information Form (CBIF) for every plant to be inspected and fax them to Claire Crane at IBWA at (703) 683-4074, or email scanned copies to Claire at ccrane@bottledwater.org. To facilitate the scheduling of your inspection, **it is advisable to return this form to IBWA before January 31, 2012.** If you operate more than one bottling facility, please duplicate the form and return **ONE FORM FOR EACH PLANT.** If a form is not received for each plant, the audit contractor may not be able to schedule the necessary inspections in 2012. Please note also that inspection fees may be based on the date the BIF/CBIF is received by them.

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2012 IBWA BOTTLER INFORMATION FORM

Please complete the following form and return it to IBWA **by January 31, 2012**. This information will be used to update our records and schedule your facility for a 2012 plant inspection. **Complete one form, including Parts I-IV for each bottling plant.** Thank you for your immediate attention.

PART I. Please fill in the blanks with the correct information.

COMPANY NAME: _____

USPS STREET ADDRESS OF PLANT: _____ (Not a P.O. Box)

PHYSICAL ADDRESS OF PLANT: _____

CITY, STATE, ZIP: _____

TELEPHONE NUMBER: _____

PLANT CONTACT PERSON & EMAIL ADDRESS: _____

ALTERNATE CONTACT PERSON & EMAIL ADDRESS: _____

DAYS AND TIME BOTTLING IS PERFORMED: _____

(please specify)

TYPE OF INSPECTION IN 2012:

___ **IBWA TIER 1** (Standard IBWA Inspection) ___

Please select one Tier 1 audit contractor: NSF International ___ NCSI/QUASI ___

___ **IBWA TIER 2** (GFSI-based audit with completed IBWA checklist) ___

IBWA-approved audit company selected for Tier 2 audit: _____

COMPLETE THE FOLLOWING FOR IBWA TIER 1 INSPECTIONS ONLY!

1. Do you anticipate any major plant renovation or equipment changes in your plant which would impact the timing of an inspection in 2012?

Yes No

If yes, please give approximate date(s). _____

****NOTE:** If there is a change in the above date(s), you must notify IBWA immediately. **

2. Please give nature of renovations and/or equipment change below:

Plant Construction Equipment Installation

Plant Relocation Other _____

PART II. For source waters, please check the applicable treatment methods. If your answer is not listed, write in your answer in the space marked "other". See key below for codes.

SOURCE WATER	TREATMENT METHODS									
	AC	DI	DE	OZ	ME	RO	UV	AE	MI	Other (Specify)
SPRING										
ARTESIAN WELL										
WELL										
MUNICIPAL SYSTEM										
*OTHER										
*(SPECIFY OTHER SOURCE TYPE) _____										
For spring source, check method of collection.										
Borehole _____ Collection Box _____ Other _____										

KEY:AC=Activated Carbon; DI=Distillation; DE=Deionization; OZ=Ozonation; ME=Mechanical Filtration; RO=Reverse Osmosis; UV=Ultra Violet; AE=Aeration; MI=Micron Filtration

PART III. Check finished product disinfection method.

FINISHED PRODUCT	DISINFECTION		
	OZ	UV	OTHER (specify)
SPRING WATER			
ARTESAN WELL WATER			
PURIFIED WATER			
PURIFIED WATER WITH MINERALS ADDED			
OTHER: _____			

PART IV. Check product container size and type used for packaging.

PACKAGE SIZE	TYPE OF PACKAGE				
	POLYCARBONATE	PET	HDPE	GLASS	OTHER (specify)
5 GALLON					
3 GALLON					
2 1/2 GALLON					
1 GALLON					
1/2 GALLON					
20-25 OZ					
16.9 OZ (0.5 LITER)					
12 OZ					
8 OZ					
OTHER: _____					

2012 IBWA CANDIDATE BOTTLER INFORMATION FORM

Please complete the following form and return it to IBWA **by January 31, 2012**. This information will be used to update our records and schedule your facility for a 2012 plant inspection. **Complete one form, including Parts I-IV for each bottling plant.** Thank you for your immediate attention.

PART I. Please fill in the blanks with the correct information.

COMPANY NAME: _____

USPS STREET ADDRESS OF PLANT: _____ (Not a P.O. Box)

PHYSICAL ADDRESS OF PLANT: _____

CITY, STATE, ZIP: _____

TELEPHONE NUMBER: _____

PLANT CONTACT PERSON & EMAIL ADDRESS: _____

ALTERNATE CONTACT PERSON & EMAIL ADDRESS: _____

DAYS AND TIME BOTTLING IS PERFORMED: _____ (please specify)

PLEASE SELECT ONE CANDIDATE AUDIT CONTRACTOR:

NSF International _____ NCSI/QUASI _____

COMPLETE THE FOLLOWING FOR IBWA TIER 1 INSPECTIONS ONLY!

1. Do you anticipate any major plant renovation or equipment changes in your plant which would impact the timing of an inspection in 2012?

Yes

No

If yes, please give approximate date(s). _____

****NOTE: If there is a change in the above date(s), you must notify IBWA immediately.****

2. Please give nature of renovations and/or equipment change below:

Plant Construction Equipment Installation

Plant Relocation Other _____

PART II. For source waters, please check the applicable treatment methods. If your answer is not listed, write in your answer in the space marked "other". See key below for codes.

SOURCE WATER	TREATMENT METHODS									
	AC	DI	DE	OZ	ME	RO	UV	AE	MI	Other (Specify)
SPRING										
ARTESIAN WELL										
WELL										
MUNICIPAL SYSTEM										
*OTHER										
*(SPECIFY OTHER SOURCE TYPE) _____										
For spring source, check method of collection.										
Borehole _____ Collection Box _____ Other _____										

KEY:AC=Activated Carbon; DI=Distillation; DE=Deionization; OZ=Ozonation; ME=Mechanical Filtration; RO=Reverse Osmosis; UV=Ultra Violet; AE=Aeration; MI=Micron Filtration

PART III. Check finished product disinfection method.

FINISHED PRODUCT	DISINFECTION		
	OZ	UV	OTHER (specify)
SPRING WATER			
ARTESAN WELL WATER			
PURIFIED WATER			
PURIFIED WATER WITH MINERALS ADDED			
OTHER: _____			

PART IV. Check product container size and type used for packaging.

PACKAGE SIZE	TYPE OF PACKAGE				
	POLYCARBONATE	PET	HDPE	GLASS	OTHER (specify)
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3 GALLON					
2 1/2 GALLON					
1 GALLON					
1/2 GALLON					
20-25 OZ					
16.9 OZ (0.5 LITER)					
12 OZ					
8 OZ					
OTHER: _____					