



MANAGEMENT SYSTEMS SOLUTIONS

# Audit Report

RC 14001:2015  
Recertification Upgrade  
ISO 9001:2015  
1st Surveillance

## Evonik Canada Inc.

1380 County Road #2  
Maitland, ON KOE 1PO CAN

**Audit date:**

**From:** May 13 2019      **To:** May 17 2019

**REF No.:**10014924

# 1. Certificate Recommendation

Thank you for your cooperation during the recent audit of your organization. This report describes the audit results including strengths, opportunities, and weaknesses. These results were presented to your management at the closing meeting of the audit. You should now use these results to further strengthen your management system. We look forward to continue our partnership toward sustainable business success.

RC 14001:2015

## Overall Evaluation

- The management system is mostly effective and fulfills the requirements of the applied standard(s), except for the identified nonconformities - see action plan(s).

## The audit team recommends to DQS in reference to the applied standard:

- The issuance of the certificate as soon as implementation of corrective action has been demonstrated.

ISO 9001:2015

## Overall Evaluation

- The management system is fully effective and fulfills the requirements of the applied standard(s). No nonconformities were identified.

## The audit team recommends to DQS in reference to the applied standard:

- The maintenance of the existing certificate.

# Level Of Integration

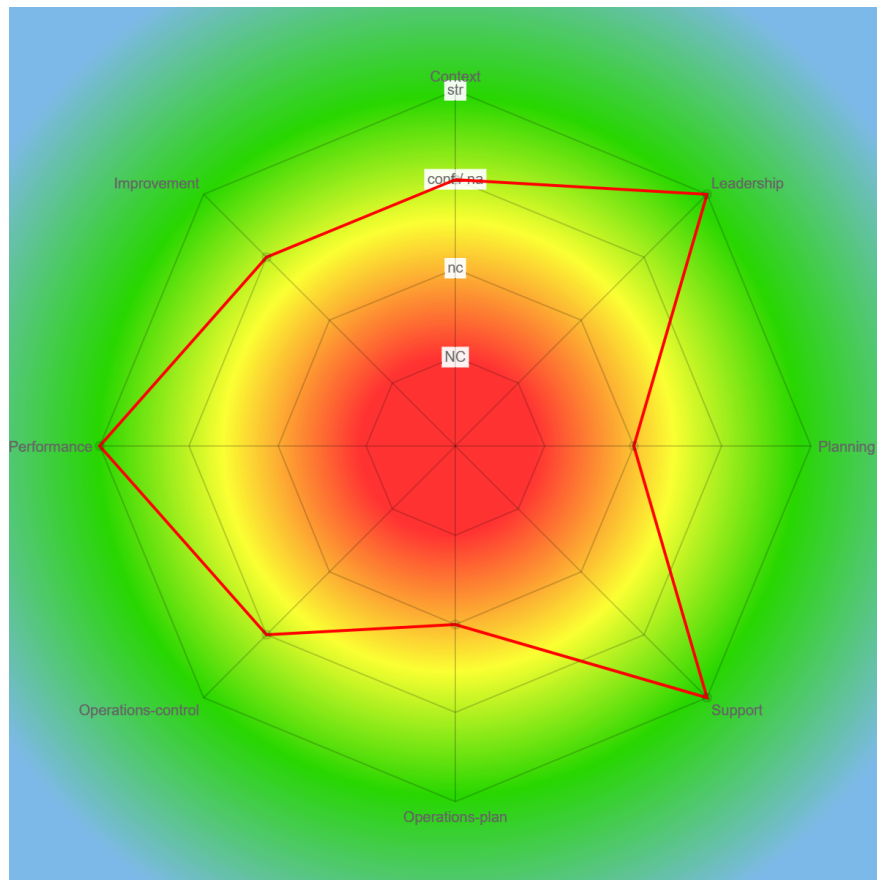
The management system is considered to be fully integrated.

## 2. Audit Results

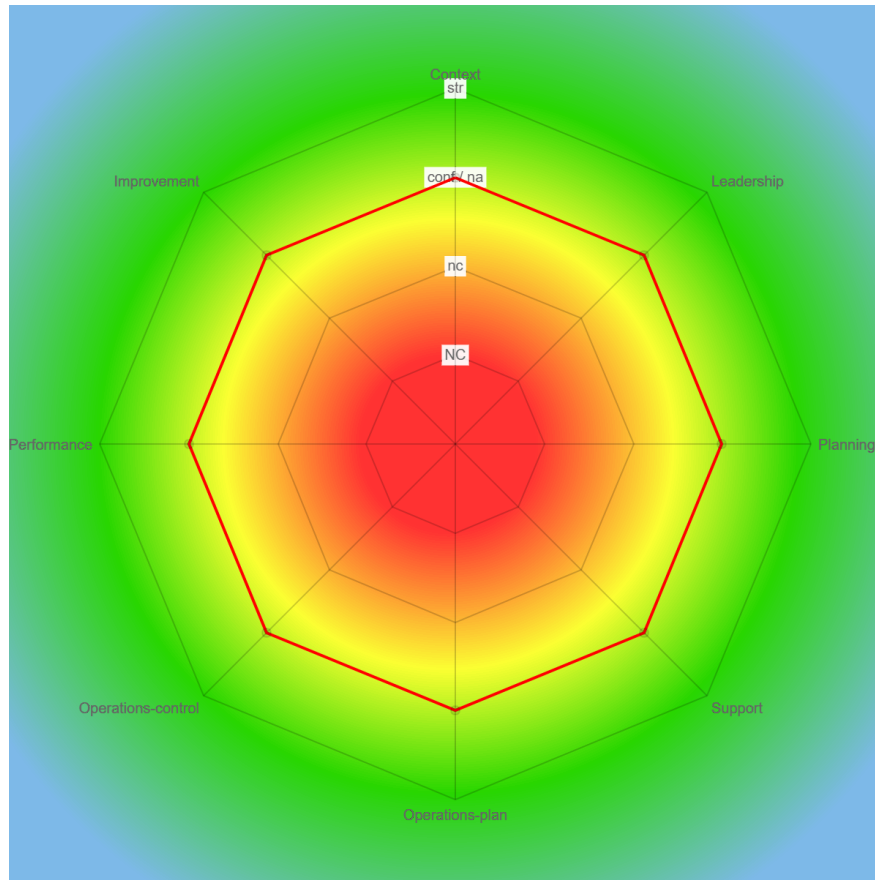
### 2.1 Executive Summary

The audit team confirms that Evonik Canada Inc. has implemented and maintains a management system in accordance with the applied standard(s). Detailed audit results were presented, explained and, as necessary, discussed with the organization's management during the closing meeting. The following chart provides a graphic overview of the respective audit findings and evaluations, which are stated explicitly in chapter 3 of this audit report.

RC 14001:2015



## ISO 9001:2015



### Rating in 4 levels

- *NC = major nonconformity was identified, conformity to standard requirement was not evident or potential risk for providing nonconforming product/service to customer*
- *nc = minor nonconformity was identified, single or isolated deficiencies were identified without impact onto the system's effectiveness*
- *conf = conforming, all requirements are fully met, (with or without potential for improvement)*
- *str = conforming, all requirements are fully met and significant strength was identified, evident through excellent results*

All audit findings are based on a sampling process, targeted towards reliable evidence for effective implementation and compliance of the management system. Where applicable findings and required corrective action plans were or will be agreed upon with the responsible managers or management representatives, steps have been or will be defined to resolve such non-conformity. Further business aspects may exist, positive or negative, which have not been reviewed by the audit team. It is the organization's responsibility to investigate and evaluate the potential impact and scope of findings, thus continuously ensuring full compliance to the applied standard(s).

## 2.2 Strength(S) - Exceed(S) The Requirements Of The Standard/Specification

No.	Standard	Requirement	Process	Statement	Evaluation
1	RC 14001:2015	5.2	Production & Lab	Employees had good understanding of policy, customer satisfaction and responsible care requirements.	Strength
2	RC 14001:2015	7.2	Management responsibility	Training documentation was outstanding.	Strength
3	RC 14001:2015	9.3	Management responsibility	Management support for system was effectively demonstrated.	Strength

## 2.3 Opportunities For Improvement And Non-Conformities

No.	Standard	Requirement	Process	Statement	Classification
1	RC 14001:2015	6.1.3	EHS responsible	The compliance obligation list was not effectively implemented.	nc
2	RC 14001:2015	8.1	Maintenance	Ladder inspections were not effectively implemented.	nc
3	RC 14001:2015	8.1	EHS responsible	Internal Audits might benefit by showing coverage of all shifts.	OFI
4	RC 14001:2015	8.1	EHS responsible	The procedure for hard hat inspection might benefit from more detail for replacement conditions.	OFI

### 3. Evaluation Of The Management System

#### 3.1 Context Of The Organization

RC 14001:2015

	NC	nc	conf	str	not audited
The organization has determined external and internal issues relevant to its purpose and ability to achieve the intended outcome of its management system. (4.1)	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
The organization has determined relevant needs and expectations of interested parties and determined which needs and expectations are compliance obligations. (4.2)	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
The organization has determined its management system scope considering applicable issues, compliance obligations, boundaries, activities, and functions. (4.3)	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
To achieve intended outcomes and enhancement of the environmental management system, the organization has established the processes and interactions needed. (4.4)	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
The organization has involved employees in the establishment, implementation, maintenance, communication and continual improvement of the Responsible Care® management system. (4.4.)	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>

ISO 9001:2015

	NC	nc	conf	str	not audited
The organization has determined external and internal issues relevant to its purpose and ability to achieve the intended outcome of its management system. (4.1)	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
The organization has determined relevant needs and expectations of interested parties and determined which needs and expectations are compliance obligations. (4.2)	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
The organization has determined its management system scope considering applicable issues, compliance obligations, boundaries, activities, and functions. (4.3)	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
For every process all standard requirements have been applied effectively (inputs, outputs, criteria, indicators, resources, interaction, authority, risk). (4.4)	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>

**Remarks**

The EHSQ manual defined for both RC and quality the scope, boundaries, interested parties and concerns, risk, significant aspects, and context as required.

The alignment between CIAC and RC14001 were reviewed with the following evident covered acceptably;

- 1-TransCAER membership and attendance of meetings confirmed-Rail committee member.
- 2- Worst Case scenario review with CAP Aug. 2018 Spill Response procedure in place and E2 test completed Sept. 12, 2018.
- 3-CIAC re-commitment letter 2/5/2019 and Economic committee member as well as Process Safety membership.
- 4- CIAC data bench marking report completed for 2018.
- 5-Ethics and sustainability re-commitment letter Feb., 5, 2019.
- 6-Dialogue, meet with Community ER coordinator from N. Augusta township, Hans stated the community had no concerns with Evonik, pleased with their co-operation and they were a good neighbor and good to deal with. Hans also stated Evonik was active on the CAP, provided good details for emergency planning and supported many community activities.
- 7-RC promotion was evident from website, Evonik CCTV, postings, employee interviews showed they had a good understanding of RC and how they support the company, community and RC programs.

**3.2 Leadership**

**RC 14001:2015**

	NC	nc	conf	str	not audited
Top management demonstrates leadership and commitment with respect to the management system and take accountability for its effectiveness. (5.1)	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
Organization recognizes Responsible Care® performance of employees. (5.1)	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
The policy and objectives are established and understood; they are compatible with context and strategic direction of the organization. (5.1, 5.2)	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
The policy is appropriate to purpose, scope and context and includes commitments to protection of the environment, prevention of pollution, compliance obligations, and continual improvement. (5.2)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
The policy promotes openness with interested parties and reflects a commitment to the Responsible Care® Guiding Principles. (5.2)	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
Organizational roles, responsibilities and authorities are assigned, communicated, understood and supported by top management. (5.3)	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>

	NC	nc	conf	str	not audited
Top management demonstrates leadership and commitment with respect to the management system and take accountability for its effectiveness. (5.1)	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
The policy and objectives are established and understood; they are compatible with context and strategic direction of the organization. (5.1, 5.2) <i>Date of current quality policy</i> 22 Nov 2017	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
Top management ensures customer focus, including awareness for requirements, risks, opportunities and customer satisfaction. (5.1)	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
Organizational roles, responsibilities and authorities are assigned, communicated and understood, supported by top management. (5.3)	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>

**Remarks**

Roles and responsibilities are defined in the EHSQ manual, procedures, work instructions, job duties, organization chart and process interaction matrix. The policy was an integrated policy for RC, quality and Energy, covering all required items. The policy was posted and understood by all employees interviewed. The policy was available to interested parties as required.

The EHSQ system had good focus on customers needs and RC tenants.

Objectives are set for all processes and tracked monthly with actions as needed.



### 3.3 Planning

RC 14001:2015

	NC	nc	conf	str	not audited
The organization has determined risks and opportunities considering interested parties and scope of the management system. (6.1)	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
The organization has determined and planned suitable actions to assure intended outcomes, including compliance obligations to address risks and opportunities. (6.1)	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
The organization monitors emerging environmental, health, safety and security concerns relevant to the business. (6.1.1)	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
Objectives (measurable) have been established at all relevant functions, levels and processes (and are being pursued). (6.2)	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
Actions planned to achieve environmental objectives include how results will be evaluated, indicators for progress, determining resources, responsibility and when it will be completed. (6.2)	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
The organization has determined compliance obligations related to its environmental aspects and how these compliance obligations apply to the organization (6.1).Life cycle perspective has considered the environmental aspects of activities, products and services. (6.1)	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The organization assesses and prioritizes transportation risk. (6.1.2).	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
The organization maintains current information related to hazards and risks for products, chemical-related processes, and activities associated with its operations. (6.1.2).	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
The organization takes into account operational energy efficiency and waste minimization, reuse and recycling when identifying its aspects and impacts. (6.1.2).	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>

ISO 9001:2015

	NC	nc	conf	str	not audited
The organization has determined risks and opportunities considering interested parties and scope of the management system. (6.1)	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
The organization has determined and planned suitable actions to assure intended outcomes, including compliance obligations to address risks and opportunities. (6.1)	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
Objectives (measurable) have been established at all relevant functions, levels and processes (and are being pursued). (6.2)	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
Action planning to achieve quality objectives is deployed effectively, including the need for change (who, when, what, how, resources, evaluation of results). (6.2, 6.3)	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>

*Remarks*

Minor issued against compliance obligations where the corporate reporting, SuRe was not identified on the list.

The risk

assessment covered both RC and quality with high risk, significant aspects and objectives related t the risks identified. Objectives are set annually, tracked monthly, have projects in place and actions to meet targets. Compliance evaluation was completed by Corporate audit of the EHS system in 2018 with actions as needed for compliance in place.

### 3.4 Support

#### RC 14001:2015

	NC	nc	conf	str	not audited
Necessary resources (people, infrastructure) including monitoring and measuring resources are determined and provided for the establishment, implementation, maintenance and continual improvement of the management system. (7.1)	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
Necessary competence and awareness of personnel operating under the organization's control is ensured. (7.2, 7.3)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
Effective internal and external communication is determined (who, how, what, when). (7.4)	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
The organization establishes and maintains dialogue about its impact on human health, safety, security and the environment, its Responsible Care® Management System performance, plans for improving performance and management of relevant risks for products, chemical-related processes, activities associated with its operations. (7.4.1)	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
Relevant product safety and product stewardship information is publicly available. (7.4.3)	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
Documented information is determined, available, maintained and controlled, ensuring effectiveness of the management system and its processes. (7.5)	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>

#### ISO 9001:2015

	NC	nc	conf	str	not audited
Necessary resources (people, infrastructure, organizational knowledge, environment for the operation of processes) including monitoring and measuring resources are determined and provided for the establishment, implementation, maintenance and continual improvement of the management system. (7.1)	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
Necessary competence and awareness of personnel operating under the organization's control is ensured. (7.2, 7.3)	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
Effective internal and external communication is determined (who, how, what, when). (7.4)	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
Documented information is determined, available, maintained and controlled, ensuring effectiveness of the management system and its processes. (7.5)	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>

*Remarks*

Observed maintenance activities in place, including calibration of online gages, all are in the database and current, no out of tolerance issues observed. The Lab completes calibration for all test equipment as required, all observed in place and no issues. Training program for competency was observed in place and very effective with 100% completion of on line refresher training done for quality and RC items. Very good communications both internal and external, with membership on CAP, Rail transportation committee, Evonik website, Evonik CCTV, newsletter, meetings, postings and hand out. Document control was determined effective with on line documents, data entry and records retained as required.

### 3.5. Operation

#### A) Operational Planning And Control

RC 14001:2015

	NC	nc	conf	str	not audited
A life cycle perspective is evident in the processes for design and development, procurement of products and services, and in external communication processes. (8.1)	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
The organization maintains safe operations and maintenance systems sufficient to achieve its policy and objectives. (8.1)	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The organization manages change for products, processes and activities associated with its operations, commensurate with risk. (8.1)	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
There are systems to protect the environment, conserve resources, protect worker health and create a safe and secure work environment. (8.1)	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
The type and extent of controlling outsourced processes are defined and controlled or influenced. (8.1)	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
There are systems to facilitate the flow of hazard and safe handling information, appropriate guidance and training along the value chain to support risk evaluation and risk management of its products and for receiving such information from suppliers on goods and services used by the organization. (8.1)	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
Organization has established, commensurate with risk, a process to work with, review, and assess customers, suppliers, contract manufacturers, carriers, distributors, contractors, logistics management providers and third-party providers based on Responsible Care or other health, safety, security and environmental performance criteria that have been established by the organization. (8.1)	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
Participation in mutual assistance programs and sharing activities as embodied in Responsible Care. (8.1)	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
The organization has established controls, as appropriate, to ensure that its environmental requirement(s) is (are) addressed in the design and development process. (8.1, 8.2)	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
The organization communicates its relevant environmental requirement(s) to external providers, including contractors (8.1)	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>

## ISO 9001:2015

	NC	nc	conf	str	not audited
All operational processes needed to meet product and service requirements, including customer-specific requirements, are planned, implemented and controlled effectively. (8.1)	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
Effective customer communication ensures that all relevant requirements related to product and service are determined, reviewed and confirmed. (8.2)	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
The organization has established, implemented and maintains an effective design and development process, ensuring subsequent provision of compliant product and services. (8.3)	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
Externally provided processes, products and services are effectively controlled, including selection and evaluation of external providers. (8.4)	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>

**Remarks**

Sales, contract review, customer service, purchasing and design activities are all performed off-site, information transferred to the site via SAP and confirmed by the sites planning group for raw material needs, production schedule, shipments, logistics and design changes to product or processes controlled by MOC system for both RC and quality. Interfaces with Parsippany confirmed, no issues.  
 Minor action issued where ladder inspections not completed per stated frequency.

## B) Emergency Preparedness And Response

### RC 14001:2015

	NC	nc	conf	str	not audited
The organization has established and implemented processes for preparing and responding to emergency situations. (8.2)	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
The organization's documented emergency response information includes appropriate consideration of communications and community recovery needs, community emergency preparedness plans and takes into account raw material, product, waste material and transportation incidents. (8.2)	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
The organization has planned actions to prevent or mitigate adverse environmental impacts from emergency situations. (8.2)	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
The organization periodically evaluates the effectiveness of its communications programs with its interested parties.. (8.2)	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
Planned emergency response processes and actions have been periodically reviewed and tested, in particular after the occurrence of emergency situations or tests. (8.2)	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
Relevant interested parties have been provided relevant information and training related to emergency preparedness and response. (8.2)	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>

### ISO 9001:2015

	NC	nc	conf	str	not audited
The organization has ensured controlled conditions for all production and service provision operations, including post-delivery activities. (8.5)	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
Monitoring and measuring activities are suitable to support controlled conditions, including prevention of human error. (8.5)	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
The organization ensures release of conforming product and service by planned arrangements effectively. (8.6)	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
Nonconforming process output is identified and controlled to prevent unintended use or delivery. (8.7)	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>

**Remarks**

Good emergency response procedures in place, operational employees active and well versed in emergency situations, Each crew has at least on member on the sites ER team, this is co-originated by the site landlord. Access to the site is thru the landlords gate, with security, badge entry and visitor control in place, all managed by the landlord. Quality control of production with all required testing completed as required, documented on line in SAP, with shift checks of production, final tank analysis completed and each rail or tanker quality confirmed as required, Good control of NC product, with holds, rework and waste controls in place. Product tracked in SAP by grade, location, tank and confirmations in place for shipment control.

CoA's issued for each shipment. No product related complaints in the last year.

**3.6. Performance Evaluation**

RC 14001:2015

	NC	nc	conf	str	not audited
The organization has determined adequate measuring and monitoring provisions to evaluate performance and effectiveness of its management system. (9.1)	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
The organization has determined and implemented processes needed to evaluate fulfilment of its compliance obligations and maintains knowledge and understanding of its compliance status. (9.1)	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
An internal audit program is planned and deployed effectively by competent personnel, ensuring conformance and suitability of the management system. (9.2)	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
Top management performs management review to ensure continuing suitability, adequacy and effectiveness of its management system, including alignment with the strategic direction of the organization. (9.3)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>

Date of last management review:

24 Apr 2019



ISO 9001:2015

	NC	nc	conf	str	not audited
The organization has determined adequate measuring and monitoring provisions to evaluate performance and effectiveness of its management system, including customer satisfaction. (9.1)	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
The organization has determined and implemented processes needed to evaluate fulfilment of its compliance obligations and maintains knowledge and understanding of its compliance status. (9.1)	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
An internal audit program is planned and deployed effectively by competent personnel, ensuring conformance and suitability of the management system. (9.2)	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
Top management performs management review to ensure continuing suitability, adequacy and effectiveness of its management system, including alignment with the strategic direction of the organization. (9.3)	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>

Date of last management review: 24 Apr 2019

Remarks

System audits completed as required covering all processes for both quality and RC activities, actions completed for findings, good monitoring and measurement in place for both quality and RC. A full management review was completed, covering all required inputs and outputs for both RC and quality. No issues.

### 3.7. Improvement

RC 14001:2015

	NC	nc	conf	str	not audited
The organization determines and selects opportunities for improvement and implements necessary actions to achieve the intended outcomes of its management system. (10.1)	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
Complaints and improvement proposals are registered and treated effectively. (10.2)	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
The organization identifies and investigates cause(s) of accidents and incidents, assign significance, takes appropriate corrective action to prevent reoccurrence, and shares key findings with interested parties. (10.2)	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
Corrective action is implemented effectively and appropriately, eliminating causes for nonconformity with risk identification and evaluation of corrective action effectiveness. (10.2)	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
When nonconformities have occurred the organization has reacted to control and provide correction. Defined corrective action from previous audit has been implemented effectively. (10.2)	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
Considering the results from analysis, evaluation and management review, the organization continually improves suitability, adequacy and effectiveness of its management system. (10.3)	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>

	NC	nc	conf	str	not audited
The organization determines and selects opportunities for improvement and implements necessary actions to achieve the intended outcomes of its management system. (10.1)	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
Complaints and improvement proposals are registered and treated effectively. (10.2)	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
Corrective action is implemented effectively and appropriately, eliminating causes for nonconformity with risk identification and evaluation of corrective action effectiveness. (10.2)	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
When nonconformities have occurred the organization has reacted to control and provide correction. Defined corrective action from previous audit has been implemented effectively. (10.2)	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
Considering the results from analysis, evaluation and management review, the organization continually improves suitability, adequacy and effectiveness of its management system. (10.3)	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>

**Remarks**

Objectives used to drive the improvement process, with actions in place for those not meeting targets. Good corrective action process with tracking in the variance system, with monthly reviews and actions for any past due.. Systems for both RC and quality found effective.

### 3.8 Significant Aspects

Please identify the significant aspects of this location, affected processes, identify the controls put in place to manage it and any comments or changes.

Significant Aspect	Process(es) affected	Controls	Comments/Changes
List loaded in audit center	EHS responsible	Emergency response team	only minor issues noted, effective controls and monitoring observed.

### 3.9 RC Guiding Principles

Is this an ACC Member Company?	<input checked="" type="radio"/> Yes <input type="radio"/> No
Product Code Implementation:	Handling instructions, SDS sheets and directives from corporate on website.
Process Code Implementation:	PHA's completed along with JSA's
Safety Code Implementation:	Good training, PPE usage, check sheet completion and record shows in place.
Guiding Principles Supported and Promoted:	Directed by corporate management, in place.
Environmental Performance Measures:	summary reported by Parsippany.
Energy Metrics- Monitoring & Reporting:	Summary reported by Parsippany. Also site is ISO5001 certified.
Safety Metrics- Monitoring & Reporting:	Summary reported by Parsippany.

## 4. Further Audit Results

### 4.1 Sampling Bases And Non-Conformances

#### A) Follow-Up Of Previous Non-Conformances

No previous Non-Conformances indicated

#### B) Sampling Bases For Employees

Management personnel	5	thereof interviewed	4	= 80%
Employees without management authority	20	thereof interviewed	11	= 55%
Total Employees	25		15	= 60%

Since time of audit planning, total number of employees has not changed.

## 4.2 Audited Shifts

Does the organization work in multiple shifts?  Yes  No

Working Shift	Process	Start	End	Audited	Reason if not audited
1st Shift	Production	7:00 AM	7:00 PM	Yes	
2nd Shift	production	7:00 PM	7:00 AM	Yes	audit covered 3 of 4 crews, these work 24/7 and rotate days and nights.

### 4.3 List Of Relevant Processes

#### A) Assessment Summary Sheet

Requirements RC 14001:2015		* Covered Requirements / Reference																								
Processes of the Organization		Sz / Re	Surv 1	Surv 2	4.1	4.2	4.3	4.4	5.1	5.2	5.3	6.1	6.2	7.1	7.2	7.3	7.4	7.5	8.1	8.2	9.1	9.2	9.3	10.1	10.2	10.3
EHS responsible	N	P	P		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Management responsibility	X	P	P		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Production & Lab	X	P	P		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Shipping	X	P			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Maintenance	N	P			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Requirements ISO 9001:2015		* Covered Requirements / Reference																														
Processes of the Organization		Sz / Re	Surv 1	Surv 2	4.1	4.2	4.3	4.4	5.1	5.2	5.3	6.1	6.2	6.3	7.1	7.2	7.3	7.4	7.5	8.1	8.2	8.3	8.4	8.5	8.6	8.7	9.1	9.2	9.3	10.1	10.2	10.3
Management responsibility	X	P	P		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Quality responsibility	X	P	P		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Production-Lab	X	P	P		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Shipping	X	P			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
maintenance	X		P		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Sales/ customer service/ design interface	X	P			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Purchasing	X		P		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

#### Outsourced Processes

waste water treatment, utilities, security  
none

## B) Relevant Processes

Process	Performance indicator(s)	Targets achieved?	Actions	Remarks	Audited
RC 14001:2015					
EHS responsible	KPI's-energy, water usage, waste, safety	Mostly	projects in place as water and energy usage was above target	Production is up, no smoothing in calculation for volume	Yes
Management responsibility	KPI's	Mostly	projects in place as water and energy usage was above target	Production is up, no smoothing in calculation for volume	Yes
Production & Lab	Checks for PPE, permits, safety	Yes	none	None	Yes
Shipping	No releases	Mostly	actions when release occurs	very minor issues	Yes
Maintenance	waste control	Yes	none	None	Yes

Process	Performance indicator(s)	Targets achieved?	Actions	Remarks	Audited
ISO 9001:2015					
Management responsibility	KPI's- OTD, rework, customer complaints	Yes	none	None	Yes
Quality responsibility	OTD, rework, customer complaints	Yes	none	None	Yes
Production-Lab	tests on time	Yes	none	None	Yes
Shipping	OTD	Yes	none	None	Yes
maintenance	PM completion	Yes	none	None	Yes
Sales/ customer service/ design interface	Entry errors	Yes	none	None	Yes
Purchasing	OTD	Yes	none	None	Yes

Targets achieved:

How frequently are process targets achieved?

Yes = 100% over or near 100%

Mostly = over 85%

Partially = over 50%

No = under 50%

#### 4.4 Further Locations Of Certificate Scope

Ref. No.	Name	Address	Employees
10008689	Evonik Corporation	299 Jefferson Rd. Parsippany, NJ 07054 USA	334-supporting 25 sites





Functions: Purchasing, sales/ contract review/ customer service, logistics, RC management-reporting



## 5. Next Steps

### 5.1 Process To Resolve Non-Conformities / Findings

Nonconformities, identified during an audit, shall be closed with evidence of effectiveness within defined time lines. Open nonconformities jeopardize the conformity of the certified management system. When nonconformities cannot be resolved, existing certifications may be suspended or withdrawn.

	During the audit nonconformities may be identified. They are recorded and reported to the customer as soon as possible, at the latest during the closing meeting. It is the customer's responsibility to define and implement corrective action for resolving the nonconformity.	17 May 2019
	As soon as possible and within 10 days for major/30 days for minor nonconformities after the audit, immediate measures and root cause analyses shall be forwarded to the Lead Auditor for evaluation, along with the respective evidence.	16 Jun 2019
	As soon as possible and within 60 days after the audit, systemic corrective actions and their verification shall be forwarded to the Lead Auditor for evaluation, along with the respective evidence.	16 Jul 2019
	As soon as possible and within 90 days after the audit, the Lead Auditor shall evaluate the effectiveness of systemic corrective actions by reviewing evidence. For major nonconformities such review shall be performed by a follow- up audit at the organization's site. For minor nonconformities such review may be performed either by a follow- up audit on site or by remote review of evidence, such as records.	15 Aug 2019

On site verification of nonconformities needed through follow-up audit:  Yes  No

Identified potential opportunities for improvement shall be evaluated internally and incorporated into the continual improvement process as deemed beneficial.

## 5.2 Next Audit Planning

Type of next audit:	1st Surv Upgrade Assessment	
	1st Surveillance	
Planned date for next audit: (non-binding estimate of audit days)	Start Date TBD	
	End Date TBD	
	for 4 audit day(s) in total	performed by 1 auditor(s)
Are these dates reasonably confirmed with the company?	<input checked="" type="radio"/> Yes <input type="radio"/> No	
Enter the name of the Lead Auditor:	site is part of corporate scheme on sampling	
The estimated amount of time for verification of action plans for the next audit/year is:	0 hour(s)	
Main emphasis will be on the following subjects:	production	

## 6. Audit And Certification Data

### 6.1 Certification Data

Current scope of certification/registration	RC 14001:2015 (Corp cert-EHSS-RC) site-manufacturing of resource efficiency products-hydrogen peroxides ISO 9001:2015 Manufacturing of Resource Efficiency Products.
Primary SIC / IAF / EA code	12

### 6.2 Certificate, Logos And Their Use

The existing or drafted certificate, including its scope statement, was reviewed and found to be accurate and appropriate.  Yes  No, see remarks

The symbols and logos of DQS, the accreditation bodies and IQNet are being used appropriately  Yes  No, see remarks

### 6.3 Changes, Identified During The Audit

The following changes were identified during the audit (e.g. company name, address, main contacts, etc):

Type of change	Existing information in DQS database	New information obtained during audit
Current Scope	(Corp cert-EHSS-RC) site-manufacturing of resource efficiency materials-peroxides	(Corp cert-EHSS-RC) site-manufacturing of resource efficiency products-hydrogen peroxides
Further Location sect. 4.4	The further location has been changed, please see section 4.4 for more detail.	10008689
RC 14001 certification	site is currently ISO14001 and CIAC-RC certified	Add thsi site to the North American RC14001 cert- 10008689

Please remember to inform DQS immediately of any significant changes to your management system. We will analyze the changes and inform you about the possible impact to your certification.

### 6.4 Fulfillment Of Audit Objectives And Audit Schedule

Audit objectives and audit schedule were fulfilled without changes.  Yes  No, see remarks

### 6.5 Audit Data

Name of the organization (client)	Evonik Canada Inc.
Main address:	1380 County Road #2 Maitland, ON KOE 1PO CAN
Ref. No.:	10014924
Audit order number (SO):	SO173991US
Audit type:	Recertification Upgrade
Surveillance frequency (mth)	Annual
Date of audit:	13 May 2019 to 17 May 2019
Total number of audit days:	5
Per section 4.3 of the standard, please note the boundaries of the management system and any exclusions, if applicable:	entire system, no exclusions
Total number of employees currently covered by this certification:	25

## 6.6 Contact Data

<b>EHSQ manager</b>	Nancy Hamilton	<b>plant manager</b>	Rod Hartley
<b>Telephone:</b>	613-348-7734	<b>Telephone:</b>	613-348-7702
<b>E-Mail:</b>	nancy.hamilton@evonik.com	<b>E-Mail:</b>	rod.hartley@evonik.com

<b>Contact person</b>	Larry McDaniel	<b>Contact person</b>	Bob Brazicki
<b>Telephone:</b>	+1 251 443-4730	<b>Telephone:</b>	+1 973 929-8048
<b>E-Mail:</b>	larry.mcdaniel@evonik.com	<b>E-Mail:</b>	robert.brazicki@evonik.com

<b>Lead Auditor</b>	Alec Graves	<b>DQS Customer Service Representative</b>	Office Requests
<b>Telephone:</b>	+1 770-235-1822	<b>Telephone:</b>	847-279-3327
<b>E-Mail:</b>	Alec.Graves@dqsus.com	<b>E-Mail:</b>	customerservice@dqsus.com
<b>Audit Days</b>	5		

## Report Summary

Report prepared on: 17 May 2019

Lead Auditor: Alec Graves

This report was provided to the management of the audited organization on 17 May 2019

by personal handover
  electronically
  by other mean (please specify)

## Disclaimer

DQS maintains ownership of this report. The content of this report and all information received in relation to the audit and certification of the audited organization will be treated confidential and not disclosed to third parties. For exceptions e.g. disclosure to accreditation body refer to DQS Certification and Assessment Regulations.

This report is considered as final by the audit team, if you do not get any adverse information from DQS within 14 days after the last audit day. The recommendation of the audit team is subject to review and approval by DQS technical certification experts, who take binding certification decision. An appeal process is defined in DQS Certification and Assessment Regulations. Should DQS obtain any information indicating nonconformity of the certified management system, DQS will notify the certified organization timely and initiate investigation and evaluation of such information.

**Distribution:**

DQS

Evonik Canada Inc.