



Management System Requirements Guidance

Amendment record

Issue	Date	Amendment
Draft E	Sept 2007	Amendment record added
Draft E	Sept 2007	Quality Management System (QMS) changed to "Management System" throughout – to demonstrate that an Environmental Management System is equally acceptable.
Draft E	Sept 2007	Sect 3 : The first management system surveillance audit is conducted 12 months after the initial assessment.
Draft E	Sept 2007	Sect 4.12 : examples of a "significant change" given
Draft E	Sept 2007	Sect 4.15 : clarification of preventative actions
Draft E	Sept 2007	Sect 6.3 : added section "MCERTS Management Systems Auditors"
Draft E	Sept 2007	Appendix 2 : Consent/Permit holder audit report updated to issue 8
Draft F	Nov 2007	Sect 4.4 : Quality Policy requirements – further guidance added
Draft G	Dec 2007	Sect 4.14 : Data treatment – further guidance added
Draft G	Dec 2007	MCERTS Site Conformity Inspection Certificate added (Appendix 1)
Draft G	Dec 2007	4.4 Quality Policy changed to Quality/Environmental Policy
Draft G	Dec 2007	4.6 Quality Manual changed to Quality Manual/Environmental Documentation
Draft H	Jan 2008	Throughout – updated to reference "Minimum Requirements for the Self Monitoring of Effluent Flow, Version 3.1, January 2008"
Draft I	Feb 2008	5 Conformance Assessment – The Certification Body should have MCERTS for the Self Monitoring of Effluent Flow included in their scope of accreditation.
Draft J	March 2008	Throughout – updated to reference "Minimum Requirements for the Self Monitoring of Effluent Flow, Version 3.2, February 2008"
Draft K	June 2008	Sect 3 : updated to reflect current practice (Sect 3.1, 3.2 and 3.3). Site Operators can contract direct with Sira for audits and inspections.
Draft K	June 2008	Sect 4.1 : An MCERTS management system audit will still need to be carried out, even if Operators maintain an EMS and/or QMS
Draft K	June 2008	Sect 4.2 : the four "key areas" added for information
1	Aug 2008	document issued: Appendix 1 – site conformity inspection certificate is at issue 6 Appendix 2 – consent/permit holder audit report is now at issue 13
2	Sept 2009	Sect 3.1 – Heading changed to "Maintaining Certification"
2	Sept 2009	Sect 4.2 – Equipment Inventory (4.9) and Data treatment (4.14) added to the list of "key areas". Auditing of a management system covering multiple locations includes random sampling based on an appropriate sample size
2	Sept 2009	Sect 4.2 - Auditing of a management system covering multiple locations will include random sampling based on the square root of the number of sites rounded up to the nearest whole number.
2	Sept 2009	Website updated to www.siraenvironmental.com/mcerts
2	Sept 2009	Sect 4.13 - Equipment used for verification checks should be subject to periodic maintenance and calibration
2	Sept 2009	Sect 4.10 – Maintenance records should be retained for 5 years
2	Sept 2009	Sect 5.2 - Audit Detail report (ADR) section added
2	Sept 2009	Sect 5.3 - Corrective action section added
2	Sept 2009	Sect 5.4 - Timescale for completing corrective action section added
2	Sept 2009	Sect 5.5 - Auditor recommendations (initial audits) section added
2	Sept 2009	Sect 5.6 - Auditor recommendations (surveillance audits) section added
3	Oct 2009	Sect 7.2 – Contact details for Flowcheck Ltd updated
4	March 2010	Sect 7.2 - Contact details for Mobrey Measurement changed to METCO Services Ltd
4	March 2010	Sect 7.2 - Contact details for Flowcheck Ltd updated
5	Oct 2010	Sect 5.6 – Reference to Section 3.1 corrected "Maintaining Certification"

Amendment record (Con't)

Issue	Date	Amendment
5	Oct 2010	Throughout – updated to reference “Minimum Requirements for the Self Monitoring of Effluent Flow, Version 3.3, September 2010”
5	Oct 2010	Appendix 2 - consent/permit holder audit report revised
5	Oct 2010	4 Quality Assurance (Management Systems) re written to reflect Environment Agency policy wrt “Simplified Management Systems”
5	Oct 2010	4.3 Simplified Management Systems – only applicable at the discretion of the Environment Agency
6	Nov 2010	Sect 5.5 – auditor recommendations clarified
7	Jan 2011	Appendix 1 – Site Conformity Inspection Certificate updated (issue 9)
7	Jan 2011	Sect 5.5 – conditional acceptance removed, Auditor recommendation is to either “accept” or “refuse” management system
7	Jan 2011	Sect 5.6 - Where an Operator repeatedly fails to co-operate with Sira in the planning and execution of surveillance audits or in the completion of agreed corrective actions, the MCERTS Site Conformity Inspection Certificate may be suspended or withdrawn and the Environment Agency informed
7	Jan 2011	5.6 – auditor recommendations for frequency of future surveillance audits clarified (2 years, 1 year, <1year)
7	Jan 2011	5.2 – definition of “minor”, “major” and “observation”
8	July 2011	5.3 – corrective actions are reviewed at the next surveillance visit
8	July 2011	5.4 – “Timescale for completing corrective action reports”, section deleted
8	July 2011	5.4 & 5.5 – auditor recommendations are subject to review by Sira Certification Service Director(s)
8	July 2011	Appendix 2 – consent/permit holder audit report updated (issue 19)
8	July 2011	website updated to www.siracertification.com/mcerts
8	July 2011	5.3 Corrective Action Report changed to Proposed Corrective Action Report. Proposed corrective action may be agreed during the audit
8	July 2011	3.1 & 5.5 - reassessment of the management system is conducted every five years
8	July 2011	4.9 - the auditor shall... record the serial No. and location of major items of flow measurement equipment
9	Mar 2012	Sira logo changed to Sira/CSA Group logo
9	Mar 2012	Appendix 2 – Consent/Permit holder audit report is now at issue 23
9	Mar 2012	Sect 2 – reference to UKAS accreditation added
9	Mar 2012	New Sect 5.6 - Suspension/withdrawal of certificates
9	Mar 2012	5.4 – up to 4 “minor” ADR’s permitted for a 12 month surveillance interval
10	Apr 2012	Throughout – updated to reference “Minimum Requirements for the Self Monitoring of Effluent Flow, Version 3.4, April 2012”
11		

CONTENTS

1 INTRODUCTION 6

2 OPERATION OF THE MCERTS SCHEME..... 6

3 THE INSPECTION PROCESS 7

Option 1 – apply direct to Sira 7

Option 2 – apply separately 7

3.1 Maintaining certification 7

4 QUALITY ASSURANCE (MANAGEMENT SYSTEMS)..... 8

4.1 Introduction 8

4.2 Standard Management System 8

4.3 Simplified Management System 9

4.4 Quality/Environmental Policy 9

4.5 Management Responsibilities (key area) 10**

4.6 Quality Manual/Environmental Documentation 10

4.7 Operating procedures 10

4.8 Document control 11

4.9 Equipment inventory (key area) 11**

4.10 Maintenance (key area) 11**

4.11 Commissioning 12

4.12 Site changes (key area) 12**

4.13 Verification (key area) 12**

4.14 Data treatment (key area) 13**

4.15 Preventative and corrective actions 13

4.16 Internal audits 13

5 CONFORMANCE ASSESSMENT 13

5.1 Auditing 14

5.2 Audit Detail report (ADR)..... 14

5.3	Corrective action.....	14
5.4	Auditor recommendations (initial audits).....	15
5.5	Auditor recommendations (surveillance/reassessment audits)	15
5.6	Suspension/withdrawal of certificates	15
6	AUDITOR COMPETENCE	16
6.1	Standard Management System Auditor Competence	16
6.2	Simplified Management System Auditor Competence	17
7	CONTACT DETAILS	18
7.1	Environment Agency/Sira Certification Service	18
7.2	MCERTS Inspectors	18
7.3	MCERTS Management System Auditors	19
7.4	MCERTS Management System Consultants.....	19
	APPENDIX 1 – MCERTS SITE CONFORMITY INSPECTION CERTIFICATE	20
	APPENDIX 2 – CONSENT/PERMIT HOLDER AUDIT REPORT	21

1 INTRODUCTION

The effective environmental protection and management of water bodies receiving effluent discharges requires knowledge about the mass release rate of pollutants. This is achieved by combining flow-measurement data (volume/time) with pollutant concentration (mass/volume).

The Environment Agency's standard "*Minimum Requirements for the Self Monitoring of Effluent Flow, Version 3.4, April 2012*" (available from www.mcerts.net) specifies the Environment Agency's minimum requirements for the self-monitoring of effluent flow. The standard covers:

- **performance requirements** for flow-metering installations in terms of a target measurement uncertainty
- **management system requirements** to ensure the ongoing performance of flow metering installations

Conformance with this MCERTS standard is based on assessment of the flow-monitoring arrangements by MCERTS Inspectors and assessment of the supporting management system.

The total daily volume of the discharge as specified in the consent/permit shall be measured with a target uncertainty of better than $\pm 8\%$ of total daily volume.

MCERTS Site Conformity Inspection Certificates are issued to Operators following satisfactory assessment against the standard "*Minimum Requirements for the Self Monitoring of Effluent Flow, Version 3.4, April 2012*".

This guidance has been developed by Sira Certification Service and Qualconsult Ltd (see Section 7 for contact details) to assist Operators of regulated processes and auditors of management systems. It is to be used by management systems auditors when undertaking audits to allow the audit to be conducted in an objective manner. It will also allow Operators to develop an improved understanding of MCERTS requirements.

2 OPERATION OF THE MCERTS SCHEME

Sira operates the scheme on behalf of the Environment Agency through a number of service providers, operating in a commercially competitive market. Contact details for these service providers are available at www.siracertification.com/mcerts and in Section 7 of this guidance.

MCERTS Inspectors are assessed and appointed by Sira in accordance with the MCERTS Standard: "*Competency Standard for MCERTS Inspectors & Assistant Inspectors – effluent flow monitoring*".

MCERTS Inspectors and management systems auditors assess effluent flow monitoring arrangements in accordance with the MCERTS Standard: "*Minimum Requirements for the Self Monitoring of Effluent Flow, Version 3.4, April 2012*". Sira also provides bulletins (additional detailed procedures and guidance) which are available at www.siracertification.com/mcerts

Sira maintains UKAS accreditation (No. 0011) according to ISO/IEC Guide 65:1996 for the auditing of management systems in accordance with the MCERTS Standard: "*Minimum Requirements for the Self Monitoring of Effluent Flow*"

3 THE INSPECTION PROCESS

Site Operators have two options. They can apply directly to Sira for a site inspection and an audit of their management system or they can choose an MCERTS Inspector from the published list to arrange a site inspection and then arrange a management system audit separately with Sira.

Option 1 – apply direct to Sira

The Operator contacts Sira with details of the effluent flow monitoring arrangements. Sira will co-ordinate the MCERTS Inspector and MCERTS management system auditor separately to ensure that both the inspection and audit are carried out satisfactorily and the inspection/audit reports reviewed. Following review, an MCERTS Site Conformity Inspection Certificate (Appendix 1) will be prepared and issued for the site.

Option 2 – apply separately

The Operator chooses an MCERTS Inspector from the list of Service Providers maintained on the Sira web site at www.siracertification.com/mcerts

An MCERTS Inspector undertakes an inspection of the site process configuration/flow monitoring arrangements and prepares an Inspection Report. The MCERTS Inspector provides the Operator with a copy of the Inspection Report.

An MCERTS management systems auditor conducts an audit of the MCERTS management system and provides the Operator with an audit report.

Provided that the MCERTS site and management system requirements are met, the Operator makes an application to Sira for an MCERTS Site Conformity Inspection Certificate. The MCERTS Inspector may make the application on behalf of the Operator.

The application must include the Inspection Report, evidence that the MCERTS management system requirements have been met and the appropriate fee.

Sira reviews the evidence included in the application. Provided that the MCERTS requirements are met, Sira issues the Operator with an MCERTS Site Conformity Inspection Certificate (Appendix 1).

3.1 Maintaining certification

MCERTS Site Conformity Inspection Certificates are valid for five years. In order to maintain certification throughout the certification period, the Operator's management system will be subjected to periodic surveillance. The first surveillance visit will be conducted approximately 12 months after the initial assessment. Thereafter, the frequency of surveillance will be agreed with the Operator, based on the audit findings (See Section 5.5).

Reassessment of the management system is conducted every five years (See Section 5.5).

4 QUALITY ASSURANCE (MANAGEMENT SYSTEMS)

4.1 Introduction

This guidance is based on Section 4 of “*Minimum Requirements for the Self Monitoring of Effluent Flow, Version 3.4, April 2012*”. The standard recognises two types of Management System:

- Management System (Sect 4.2)
- Simplified Management System (Sect 4.3)

Note: Operators may choose to maintain an Environmental Management System (EMS) or a Quality Management System (QMS), or both. Maintaining an EMS and/or a QMS will not adequately demonstrate compliance with MCERTS requirements. **An MCERTS management system audit will still need to be carried out.**

Some sites may (at the discretion of the Environment Agency) be given the option to have a simplified management system assessed by the MCERTS Inspector as part of their site inspection (Sect 4.3).

4.2 Standard Management System

The focus of the Management System should ensure that the required measurement uncertainty and confidence level is maintained. “Quality” in this context is concerned with the accuracy and completeness of the flow data provided to the Environment Agency.

The Management System shall include statements, information and/or documented procedures, as appropriate, covering the following elements:

- quality/environmental policy – Sect 4.4
- management responsibilities – Sect 4.5
- quality manual/environmental documentation – Sect 4.6
- operating procedures – Sect 4.7
- document control – Sect 4.8
- equipment inventory – Sect 4.9
- maintenance – Sect 4.10
- commissioning – Sect 4.11
- site changes – Sect 4.12
- verification – Sect 4.13
- data treatment – Sect 4.14
- preventative and corrective actions – Sect 4.15
- internal audits – Sect 4.16

The following clauses are considered to be the “key” areas

- management responsibilities – Sect 4.5
- equipment inventory – Sect 4.9
- maintenance – Sect 4.10
- site changes – Sect 4.12
- verification – Sect 4.13
- data treatment – Sect 4.14

A major failing in any one of these “key” areas will normally result in the auditor refusing acceptance of the management system and further objective evidence of compliance will need to be collected at a future audit (See Section 5).

Integrating the MCERTS Management System requirements into a wider quality or environmental management system may have some advantages such as common auditing and document control arrangements. However it could be difficult, for example, to have a policy statement that addresses both the quality of product and MCERTS requirements and therefore some areas may be best kept separate.

In developing the management system it is important to ensure that the system is explicit, effective and as easy as possible to understand and implement. Whilst all of the requirements need to be considered, any unnecessary complication will inevitably cause problems.

Assessment of the management system involves an audit to ensure that the requirements have been fully established, implemented, understood and adequately address the requirements of sections 4 of “*Minimum Requirements for the Self Monitoring of Effluent Flow, Version 3.4, April 2012*”. The management system shall ensure that flow data is consistently accurate and correctly captured and communicated. The management system shall ensure continued flow measurement accuracy between the five-yearly inspections of site arrangements. This will be verified during periodic surveillance of the management system.

An organisation with multiple discharges may wish to maintain a management system which covers all discharge locations. If necessary, local operating procedures may also be in place which allow any variations in operating practice necessary for specific discharge sites. Auditing of a management system covering multiple locations will include random sampling of information and records associated with the individual locations based on an appropriate sample size. This is generally based on the square root of the number of sites rounded up to the nearest whole number.

4.3 Simplified Management System

Some sites may (at the discretion of the Environment Agency) be given the option to have a simplified management system assessed by the MCERTS Inspector as part of their site inspection. The management system shall include statements, information and/or documented procedures, as appropriate, covering the following elements:

- management responsibilities – Sect 4.5
- equipment inventory – Sect 4.9
- maintenance – Sect 4.10
- site changes – Sect 4.12
- verification – Sect 4.13
- data treatment – Sect 4.14

4.4 Quality/Environmental Policy

The commitment of senior management is important if the Operator is to effectively implement and operate the required management system. A documented statement of this commitment is a fundamental requirement, and it needs to be communicated and understood so that all relevant employees appreciate the significance of MCERTS.

The policy should state senior management's commitment in simple, unambiguous terms. It does not need to include the responsibilities indicated as long as these are defined elsewhere within the system.

An Environmental Policy which includes a commitment to comply with environmental regulations or legislation will satisfy this requirement.

4.5 Management Responsibilities ^{** (key area)}

Somebody needs to be responsible for understanding the requirements of MCERTS and for maintaining the management system. This could be a Quality Manager or someone else. It is important that responsibilities are clearly defined, assigned and where necessary documented. An organisation chart plus notes will be required in most circumstances. A responsible person needs to have an adequate understanding of flow measurement, MCERTS requirements, the treatment process and sufficient authority to ensure effective operation of the system.

It is not necessary to create specific job functions/titles for a responsible person. The responsibility can be undertaken by existing personnel.

The management system auditor shall record the name(s) of the responsible person(s) in the audit report.

Organisation charts should show the person(s) with principle responsibility for the management system and their relationship to senior management.

Job descriptions should include MCERTS responsibilities but do not need to be over complex. For example, those involved in the cleaning of flow monitoring equipment do not need to have a detailed understanding of MCERTS requirements, they just need to know the extent of their responsibilities and that it is important for flow monitoring accuracy.

Training records should demonstrate that appropriate MCERTS training has been provided. This does not necessarily mean external training courses. Adequate understanding for Quality Managers could be obtained by a literature study and in such cases it would be adequate for training records to simply detail the information source(s) and date when studied. Training for operatives could be provided internally by Quality Managers with an appropriate entry in each recipients training records.

4.6 Quality Manual/Environmental Documentation

The Manual or Documentation will normally provide a simple overview of the system and include the policy statement, organisation structure with respect to MCERTS, and principle responsibilities.

4.7 Operating procedures

Operating procedures normally fall into two broad types, those that address the management system (such as internal auditing) and those that address day to day operational issues (such as maintenance). Therefore it is common to have separate sets of procedures for, say Managers and Operatives. Alternatively management procedures could be incorporated in the Quality Manual and operational procedures could be in a separate "Work Instruction". A small organisation may wish to have all procedures and work instructions in one manual.

Operating procedures must be clear and easy to understand and should be available where the work is carried out. It is quite appropriate for routine requirements such as channel cleaning to be displayed using signs or similar at the work location and this would satisfy the requirement for the procedure to be documented.

The “Competent Person” responsible for the issue of operating procedures could be the Quality Manager. It is important that responsibilities are clearly defined and assigned to an appropriate person or persons.

4.8 Document control

Operating procedures (and subsequent revisions) need to be approved by an appropriate person (For example, the Quality Manger), with a simple record to confirm this has taken place. Procedures also need to be distributed appropriately and out of date versions withdrawn to prevent inadvertent use. These constitute the necessary controls. They need to be defined in a simple “document control” procedure.

4.9 Equipment inventory ^{** (key area)}

Major items of equipment will typically include the ultrasonic level transducer (for open channel flow systems) or the electromagnetic flowmeter and any associated recording equipment. The equipment could be included in an organisation’s existing maintenance system or separate records can be maintained.

The auditor shall inspect the list of major items of equipment and record the serial No. and location of major items of flow measurement equipment. Major items of equipment shall normally be included on a list, database, record sheet or card. ***The flow measurement equipment listed in the MCERTS Site Inspection report shall appear on the list together with its unique identifying code (e.g. serial number).*** The equipment inventory and maintenance schedule may be combined into one list.

4.10 Maintenance ^{** (key area)}

An appropriate maintenance schedule needs to be established and maintained. Typical maintenance activities include channel/weir cleaning, loop checks, instrument checks and a visual examination. Maintenance frequencies should be based on manufacturers recommendations and operational experience, and supported by maintenance/inspection records. For example if the records of a monthly cleaning activity regularly report “heavy fouling” the frequency of cleaning needs to be increased. Maintenance activities may be separated into tasks which are performed “daily”, “weekly”, “monthly”, “annually”, “5 yearly” (recertification) or “as required”.

Note the requirement to detect any deterioration in performance, and other problems. Problems could include seasonal or production variations that cause deviations in accuracy. Therefore records need to show that regular functional checks are carried out.

Maintenance functions could be divided into tasks conducted weekly, monthly and annually and records kept. This can be in the form of a simple “tick-sheet” which indicates when maintenance activities were performed and who performed them. Records should be retained for a period at least equal to the validity period of the MCERTS Site Conformity Inspection Certificate (5 years).

If the equipment has specific periodic maintenance requirements these should be entered into the schedule where appropriate. If there are specific seasonal requirements for maintenance

these should be entered into the schedule as appropriate. If Total Daily Volume is recorded manually the appropriate frequency should be included in the schedule.

The auditor shall describe the maintenance arrangements in place on site, the frequency of scheduled maintenance and record the location of maintenance records in the audit report.

4.11 Commissioning

This procedure needs to ensure that new installations and any modifications to the primary device (weir, flume, channel) result in an MCERTS inspection. See below for action required in respect of other site changes.

4.12 Site changes ^{**} (key area)

Any site changes that could influence measurement uncertainty need to be captured, recorded, assessed for their significance, and suitable action taken to ensure measurement uncertainty is maintained. A documented procedure will be required to demonstrate that the above process has been followed and also to confirm completion of any action necessary.

The key factor is whether any site change affects the validity of the Site Conformity Inspection Certificate e.g. previously stated measurement performance is no longer being achieved, or the flow monitoring arrangements are no longer as described in the inspection report.

One example of a “significant change” would be a change to the process which significantly reduces the daily volume measured. This could result in the 8% uncertainty target being exceeded.

Another example would be the abstraction of washwater downstream of the flowmeter resulting in “double counting” of significant flows.

The auditor shall examine the procedure for the assessment of site changes and comment on its suitability.

A single procedure could address the requirements of 4.11 and 4.12. It needs to describe how changes that could influence measurement uncertainty are captured, recorded, assessed for their significance, and suitable action taken to ensure accuracy is maintained. Records need to show that the above process has been followed and also confirm completion of any action necessary.

4.13 Verification ^{**} (key area)

Verification procedures may take the form of regular checks using a calibration reference plate (for open channel flowmeters), electronic verification (for electromagnetic flowmeters) or a simple comparison of “indicated flow” against “expected flow”. Records of the actual measurements taken shall be maintained. Equipment used for verification checks should be subject to periodic maintenance and calibration.

The frequency of such checks will depend upon such things as how well equipment is protected from damage or tampering, and would normally be carried out every 6 or 12 months.

By recording and plotting daily values of totalised flow, a visual inspection of the graph will give an early warning of any possible errors in the flow measurement. Deposition or silting will invariably result in increasing flow readings.

The auditor shall examine the procedure and the records of the actual measurements taken and comment on their suitability.

4.14 Data treatment ** (key area)

The management system is required to describe how flow measurement data is collected and processed and thus demonstrate how the stated measurement uncertainty is maintained.

Where flow measurement data is transmitted to a monitoring station using telemetry, the maximum acceptable data treatment/telemetry error shall be recorded.

Where appropriate, the auditor will expect to see appropriate records covering the activities listed in 4.14.2.

An MCERTS Inspector will often use a local display to set-up and configure a flowmeter. If flow data is transmitted to and stored on a data archive of some sort (and subsequently sent to the Environment Agency), it is important to ensure that the flow data appearing on the data archive matches the flow data indicated on the local display. A simple check can be carried out during routine verification (Sect 4.13).

4.15 Preventative and corrective actions

Incidents that indicate a failure of the management system or which could threaten the integrity of flow measurement data need to be captured, investigated, and appropriate action put in place. If the organisation operates an ISO 9001 QMS or an ISO 14001 EMS the MCERTS system could utilise the same procedure and records. Incidents need to be assessed by someone with appropriate experience, hence the reference to a “competent person”. Completion of actions, however, could be by any suitable person, with appropriate follow-up by a competent person to ensure their completion and effectiveness.

Clause 4.15.1 describes corrective actions only. Preventative actions could involve the monitoring and analysis of flow data to detect trends or the use of Risk Assessment or potential Failure Mode and Effect Analysis (FMEA) on site changes.

4.16 Internal audits

The MCERTS audit programme could be incorporated into an organisation’s existing QMS/EMS audit programme and use the same procedures and records, or it could be separate. In either case it is necessary to demonstrate that regular audits are carried out by appropriately qualified individuals to check that the MCERTS management system continues to be operated effectively.

5 CONFORMANCE ASSESSMENT

The Certification Body conducting the management system audit shall be a UKAS accredited Certification Body or a Certification Body that is an International Accreditation Forum signatory. The management system auditor shall work on behalf of an accredited Certification Body. The Certification Body should have Minimum Requirements for the Self-Monitoring of Effluent Flow included in their scope of accreditation.

Management System auditors shall meet the competence criteria defined in Section 6 of this guidance.

5.1 Auditing

The auditor shall assess the Operator's management system to ensure that the requirements have been satisfactorily met in relation to the effluent flow monitoring arrangements.

The auditor shall assess whether the Operator's systems are in accordance with good practice and shall ensure maintenance of the effluent flow monitoring system's performance over the certification period. The auditor shall obtain objective evidence from Operator's documented records that the systems are satisfactorily implemented in a timely manner.

The auditor shall complete the current version of a "Consent/Permit Holder Audit Report" (available from Sira). A copy of an example report is shown in Appendix 2. The report shall include a recommendation from the auditor to accept or refuse acceptance of the Operator's management system.

5.2 Audit Detail report (ADR)

Audit findings are recorded on an Audit Detail Report (ADR) form. A separate ADR is raised for each clause of the standard in which a non-conformance is identified. Depending on the number and nature of nonconformity found, more than one ADR may be raised for each clause. ADR reports are agreed between the auditor and the Operator during (or shortly after) the audit. Each ADR is given a category (**major**, **minor** or **observation**) depending on the severity of the finding.

A **major** finding is one where there is an absence of a required procedure, the total breakdown of a procedure or where there may be a risk of an adverse effect on the performance of the flow measurement.

A **minor** finding is one which would not have such a direct effect on the performance of flow measurement.

An **observation** is raised for information only.

5.3 Corrective action

The Operator shall complete the Proposed Corrective Action Report section of each ADR describing what has been done to address the ADR. The corrective action will be reviewed at the next audit. Proposed Corrective Action Reports may be agreed during the audit.

Failure to respond to corrective action requests may result in the ADR severity being escalated (e.g. from **minor** to **major**). Where the Operator repeatedly fails to initiate corrective action, the MCERTS Site Conformity Inspection Certificate may be suspended or withdrawn and the Environment Agency informed.

5.4 Auditor recommendations (initial audits)

Following the initial audit, the auditor will make a recommendation to:

- **accept** the management system
- **refuse** acceptance of the management system (i.e. reassessment of the management system will be required)

The recommendation is based on the objective evidence collected during the audit and on the following criteria.

Audit detail report(s) raised	Recommendation	Action required
Up to 4 “minor”	accept the management system	Schedule first surveillance visit within 12 months
<ul style="list-style-type: none"> • One or more “major” and/or • Five or more “minor” 	refuse acceptance of the management system	Schedule reassessment visit within 6 months

Auditor recommendations are subject to review by the Director(s) of Sira Certification Service who have veto power regarding all certification decisions.

5.5 Auditor recommendations (surveillance/reassessment audits)

The auditor will agree with the Operator the frequency of future surveillance/reassessment audits based on the following guidance.

Audit detail report(s) raised	Recommendation
• None	2 years
• Four or less “minor”	1 year
<ul style="list-style-type: none"> • One or more “major” and/or • Five or more “minor” 	<1 year (to be agreed with auditor)

Auditor recommendations are subject to review by the Director(s) of Sira Certification Service who have veto power regarding all certification decisions.

Reassessment of the management system is conducted at least once within each five year period.

5.6 Suspension/withdrawal of certificates

Where an Operator repeatedly fails to co-operate with Sira in the planning and execution of surveillance audits, or in the completion of agreed corrective actions, the MCERTS Site Conformity Inspection Certificate may be suspended or withdrawn and the Environment Agency informed.

Following suspension/withdrawal, a Site Conformity Inspection Certificate can be reinstated once a reassessment of the management system has taken place. If significant changes to the site have taken place that will affect the effluent flow then a further site inspection will also need to take place.

6 AUDITOR COMPETENCE

6.1 Standard Management System Auditor Competence

The following guidance describes the competence requirements of MCERTS QMS/EMS auditors to conduct MCERTS management system audits in accordance with Section 4.2 of Environment Agency standard “*Minimum Requirements for the Self-Monitoring of Effluent Flow*”.

Knowledge

MCERTS management system auditors shall:

- be aware of and understand the content and application of Section 4 of Environment Agency standard “Minimum Requirements for the Self-Monitoring of Effluent Flow” and the MCERTS bulletins
- be aware of and understand the published guidance for MCERTS auditors
- be aware of the procedures for calculating measurement uncertainty

Skills

MCERTS management system auditors shall:

- be qualified to carry out ISO 9001/ISO 14001 audits according to the Certification Body’s auditor competence requirements
- be able to read, interpret and apply the requirements of the scheme documentation (Environment Agency standards and MCERTS bulletins)

Technical Understanding

MCERTS management system auditors shall possess:

- an understanding of the principles of flow measurement
- an understanding of effluent and wastewater treatment processes
- an understanding of the potential effect of management system deficiencies on flow measurement accuracy/uncertainty

One mechanism to demonstrate that an auditor has the necessary technical understanding is by attending an “MCERTS Awareness Seminar” provided by the MCERTS Inspection Body.

Certification Bodies shall have records to show how they have determined that their auditors can demonstrate the above requirements.

6.2 Simplified Management System Auditor Competence

Simplified management system audits can be conducted by MCERTS Inspectors, once their competence to carry out auditing has been satisfactorily demonstrated to Sira.

Simplified management system auditors shall:

- be appointed MCERTS Inspectors
- be aware of and understand the published guidance for MCERTS management system auditors
- be aware of and understand the content and application of Section 4 of Environment Agency standard “Minimum Requirements for the Self-Monitoring of Effluent Flow”
- have an understanding of the principles of management systems

Simplified management systems Auditors’ understanding shall be of sufficient breadth to appreciate the potential effect of deficiencies in the management system on flow measurement accuracy/uncertainty.

7 CONTACT DETAILS

7.1 Environment Agency/Sira Certification Service

Environment Agency

Releases Monitoring
Industry Regulation
PO Box 519
Preston. PR5 8GD

Tel: 01772 714362

email: paul.wiggins@environment-agency.gov.uk

web: www.mcerts.net

Sira Certification Service

12 Acorn Industrial Park
Crayford Road
Crayford, Dartford
Kent. DA1 4AL

Tel: 01322 520500

email: mcerts@siracertification.com

web: www.siracertification.com/mcerts

7.2 MCERTS Inspectors

Auditing Group - METCO Services Ltd

Emerson House
Kirkhill Drive
Kirkhill Industrial Estate
Dyce, Aberdeen
AB21 0EU

Tel: 01224 215700

email: metcosales@emerson.com

web: www.emersonprocess.com/metco

Critical Flow Systems Ltd

Coln Park Industrial Estate
Andoversford
Cheltenham
Gloucestershire. GL54 4HJ

Tel: 01242 820199

email: mcerts@criticalflow.co.uk

web: www.criticalflow.co.uk

Flowcheck Ltd

Evolution House
Clayhill Light Industrial Park
Longacres Road
Neston
South Wirral CH64 3RL

Tel: 0151 336 8328

email: mark@flowcheck.co.uk

web: www.flowcheck.co.uk

Hydro-Logic Ltd

Old Grammar School
Church Street
Bromyard
Herefordshire. HR7 4DP

Tel: 01885 483789

email: awillis@hydro-logic.co.uk

web: www.hydro-logic.co.uk

Trueflow Surveys Ltd

Windcliffe, Sulton Lane
Ogmore by Sea
Bridgend
Mid Glamorgan. CF32 0PE

Tel: 01656 880922

email: dennis@trueflow.co.uk

web: www.trueflow.co.uk

Siris Environmental Flow Surveys Ltd (SEFS)

Station Road
Seaham
Co. Durham
SR7 0AD

Tel: 0191 5131313

email: nick.richardson@siris.co.uk

web: www.siris.co.uk

7.3 MCERTS Management System Auditors

Contact Sira Certification Service.

7.4 MCERTS Management System Consultants

Qualconsult Ltd

Tel: 07940 575891

email: graham@qualconsult.co.uk

APPENDIX 1 – MCERTS Site Conformity Inspection Certificate



SITE CONFORMITY INSPECTION CERTIFICATE

This is to certify that the effluent flow monitoring arrangements at:

Consent/Permit holder: **Example**
Site: **Example**

Site reference or postcode: **DA1 4AL**
Grid reference: **S P278097**
Consent/Permit ref: **HP1234HP**

have been inspected and found to comply with the Environment Agency's MCERTS standard:

**Minimum Requirements for the Self-Monitoring of Effluent Flow
Version 3.3, September 2010**

The results of the inspection of the flow measurement system are given in the following report:
SCS/SF/1234567

The Consent/Permit holder's management system has been audited and found to comply with the above MCERTS requirements.

This certificate is issued subject to the Consent/Permit holder maintaining its management system to the required standard, which will be subjected to periodic surveillance. The use of this certificate and the Sira Certification Mark are subject to the Regulations Applicable to Holders of Sira Certificates.

Certificate No: **Sira ME 10 3731**
Date of initial certification: **28-Apr-10**
This certificate issued: **13-Dec-10**
Renewal date: **28-Apr-15**

R Cooper I Eng MInstMC
Technical Director

MCERTS is operated on behalf on the Environment Agency by

Sira Certification Service




12 Acorn Industrial Park, Crayford Road,
Crayford, Dartford, Kent DA1 4AL

Tel: +44 (0)1322 520500 Fax: +44 (0)1322 520501

SCS/SF/242
Issue 9
December 2010




This certificate remains the property of Sira and shall be returned when requested. It may only be reproduced in its entirety and without change.
Registered Office: Rake Lane, Eccleston, Chester CH4 9JN

APPENDIX 2 – Consent/Permit holder audit report

AUDIT REPORT <i>MCERTS for the self-monitoring of effluent flow</i> CONFIDENTIAL		  				
Audit report Ref:						
Consent/Permit No.						
Date of Assessment						
Operator (auditee)						
Operator representative						
<i>Name:</i>		<i>Tel:</i>				
<i>Title:</i>		<i>email:</i>				
Operator Address						
Scope of audit						
Minimum Requirements for the Self-Monitoring of Effluent Flow - Version						
Pre-assessment	Initial assessment	Surveillance			Re-assessment	
Site Inspection Service Provider	Inspector	Survey Date	Report No.	Pass / Fail	Certificate No.	Expiry Date
RECOMMENDATION <small>(del where applicable)</small>		NEXT STEP <small>(delete where applicable)</small>				
<i>accept management system</i>		<i>Issue certificate</i>				
<i>maintain acceptance of management system</i>		<i>Next visit due [date]</i>				
<i>refuse/withdraw acceptance of</i>						
Auditor recommendations						
<small>Auditor recommendations are subject to review by the Directors of Sira Certification Service who have veto power regarding all certification decisions</small>						
Auditor	Operator	Sira				
<small>Signed</small>	<small>Signed to accept recommendations</small>	<small>Signed</small>				

Page 1 of 6 pages

Form 1272 Issue 23
January 2012
Sira Certification Service, 12 Acorn Ind. Park, Crayford Road, Crayford, Dartford, Kent. DA1 4AL

AUDIT REPORT <i>MCERTS for the self-monitoring of effluent flow</i> CONFIDENTIAL		  
Audit report Ref:		
Consent/Permit No.		
Date of Assessment		




Impartiality Declaration

I confirm that neither I nor my organisation has had any consultancy or other relationship that could result in a conflict of interest with the above company within the last two years, other than activities conducted under the direction of Sira Certification, and will notify Sira Certification if this situation should change.




Signature		Date	
-----------	--	------	--

1 SUMMARY REPORT




Summary *an overview of compliance of the management system with the MCERTS requirements*

AUDIT REPORT <i>MCERTS for the self-monitoring of effluent flow</i> CONFIDENTIAL		  
Audit report Ref:		
Consent/Permit No.		
Date of Assessment		




2 AUDIT DATA		
Audit team members		
Interviewed Operator representative(s) (auditee)		
<i>Area</i>	<i>Name</i>	<i>Title / Job Function</i>
Areas sampled <i>Indicate the areas sampled during the audit. Indicate whether an area has been completely covered (C), sampled (S) or not applicable (N/A)</i>		
Requirement	C, S, N/A	ADR Ref
4.4 Quality/Environmental policy		
4.5 Management responsibilities		
4.6 Quality manual/Environmental documentation		
4.7 Operating procedures		
4.8 Document control		
4.9 Equipment inventory		
4.10 Maintenance		
4.11 Commissioning		
4.12 Site changes		
4.13 Verification		
4.14 Data treatment		
4.15 Preventative and corrective actions		
4.16 Internal audits		

AUDIT REPORT <i>MCERTS for the self-monitoring of effluent flow</i> CONFIDENTIAL		  
Audit report Ref:		
Consent/Permit No.		
Date of Assessment		

3 AUDIT DETAIL REPORT		ADR No:	
<i>Indicate Para No. of Standard for each ADR</i> 4.4 4.5 4.6 4.7 4.8 4.9 4.10 4.11 4.12 4.13 4.14 4.15 4.16			
Description	Category		Major Minor Observation
Auditor <i>sign</i>		Operator <i>sign</i>	
PROPOSED CORRECTIVE ACTION <i>(to be entered if agreed after discussion during audit)</i>			
Auditor <i>sign</i>		Operator <i>sign</i>	

AUDIT REPORT <i>MCERTS for the self-monitoring of effluent flow</i> CONFIDENTIAL		  
Audit report Ref:		
Consent/Permit No.		
Date of Assessment		

4 AUDIT NARRATIVE <i>Information relevant to the audit which is not already included herein</i> <i>Colour Code: Non-conformance (major/minor) Observation Satisfactory</i>	
4.4 Quality/Environmental policy	
4.5 Management responsibilities	
4.6 Quality manual/Environmental documentation	
4.7 Operating procedures	
4.8 Document control	
4.9 Equipment inventory	
4.10 Maintenance	
4.11 Commissioning	
4.12 Site changes	
4.13 Verification	
4.14 Data treatment	
4.15 Preventative and corrective actions	
4.16 Internal audits	

AUDIT REPORT <i>MCERTS for the self-monitoring of effluent flow</i> CONFIDENTIAL		  
Audit report Ref:		
Consent/Permit No.		
Date of Assessment		

5 CORRECTIVE ACTION REVIEW
a review of corrective action resulting from previous Audit Detail Reports raised