

## **AWSA**

### **Compliance and Enforcement Process**

#### **1. Complainant notifies AWSA**

A written complaint is to be sent to AWSA c/o Project Manager by e-mail to [manager@awsa.ca](mailto:manager@awsa.ca). The complainant is to outline details of the alleged non-compliance infraction. The Project Manager will respect the confidentiality of the complainant.

#### **2. Qualification Process:**

- AWSA to send an AWSA Auditor to the site to check all details.
- As a working goal, the complaint is to be addressed within three working days.
- Project Manager makes final recommendation to AWSA management.
- AWSA to notify complainant on or before the fourth working day as to status.

#### **3. Resolution Process:**

##### **First Offence**

- Warehouse has three working days to undertake and complete corrective action.
- Warehouse operator to confirm issue corrected in writing.
- Infraction record remains on file for two years from date of infraction.
- If situation is not corrected within three working days, certification is withdrawn and manufacturers/distributors are notified. A complete re-audit is required at the warehouse operators' expense. Recertification is issued following a successful audit. Infraction record remains on file for two years from date of infraction.
- AWSA has option for second auditor visit to confirm compliance.
- Unannounced audits will be performed at AWSA's expense the following year.

**Second Offence** (same warehouse, same violation, within a 2-year period (730 days) from 1st offence)

- A fine of \$5,000.00 is levied and payment is due in 30 days.
- Warehouse has three working days to undertake and complete corrective action.
- Warehouse operator to confirm issue corrected in writing.
- Infraction record remains on file for two years from date of second infraction.
- If situation is not corrected within three working days, certification is withdrawn and manufacturers/distributors are notified. A complete re-audit is required at the warehouse operators' expense. Recertification is issued following a successful audit. Infraction record remains on file for two years from date of second infraction.
- All manufacturers & distributors advised of second offence.
- AWSA has option for second auditor visit to confirm compliance. Follow up visits will be unannounced.
- Unannounced audits will be performed at AWSA's expense within the following 2 years.

**Third Offence** (same warehouse, same violation, within a 2-year period (730 days) from 2nd offence)

- A fine of \$10,000.00 is levied and payment is due in 30 days
- Warehouse has three working days to undertake and complete corrective action.
- Warehouse operator to confirm issue corrected in writing.
- Infraction record remains on file for two years from date of second infraction.
- If situation is not corrected within three working days, certification is withdrawn and manufacturers/distributors are notified. A complete re-audit is required at the warehouse

operators' expense. Recertification is issued following a successful audit. Infraction record remains on file for two years from date of second infraction.

- All manufacturers & distributors advised of second offence.
- AWSA has option for second auditor visit to confirm compliance. Follow up visits will be unannounced.
- Unannounced audits will be performed at AWSA's expense the following years

**Fourth Offence** (same warehouse, same violation, within a 2-year period (730 days) from 3rd offence)

- Certification immediately withdrawn for 547 days (1.5 years), no three-day grace period. Manufacturers immediately notified that warehouse is ineligible for receipt for agrichemical products. Following 547 days, a complete re-audit is required at the warehouse operators' expense. Recertification issued following a successful audit.

Example:

1. Warehouse has verified complaint on May 1, 2017 (but rectified within three working days).
2. 1<sup>st</sup> infraction on file until April 30, 2019.
3. 2<sup>nd</sup> infraction committed (same protocols) on May 1, 2018 (but rectified in three working days). Warehouse now in 2<sup>nd</sup> infraction status which is on file for two years from date of second infraction (until April 30, 2020). A \$5,000.00 fine is levied.
4. 3<sup>rd</sup> infraction committed (same protocol) on February 15, 2019 (but rectified in three working days). Warehouse now in 3<sup>rd</sup> infraction status which is on file for two years from date of third infraction (until February 14, 2021). A \$10,000.00 fine is levied.
5. If warehouse has 4<sup>th</sup> infraction (same protocol) between February 15, 2019 and February 14, 2021 certification is withdrawn for a 547 day period and all manufacturers/distributors are notified.