

## Application Process

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## Application for certification or registration

There are four types of applications: initial, revised, transfer of ownership, and reciprocity applications. Each of these types have their own specific application requirements and processing fee - as outlined below.



Short form applications are available for smaller, wastewater laboratories whose testing is limited to any combination of BOD, TSS, ammonia, total phosphorus, and chloride.

### **General requirements**

The certification and registration process requires laboratories to:

1. Submit applications for seeking, revising, or transferring certifications or registrations.
2. Identify the fields of certification or registration tiers being sought.
3. Identify the methods of analysis that will be used.
4. Submit a current analytical instrument list.
5. Submit acceptable results for proficiency testing (PT) samples when required.
6. Submit a statement of intent to perform analyses for regulatory samples originating in Wisconsin. *(for labs that are not physically located in the state of Wisconsin only)* This can be demonstrated by:
  - a. identifying the lab's affiliation with a treatment or industrial plant, office, lab, or engineering firm physically located in the state of Wisconsin.

- b. submitting a letter from a potential client requesting the applicant to perform analyses to determine compliance with a covered program.
7. Submit information identified in the application, as required.
8. Allow the department to perform an on-site evaluation.
9. Pay the required fees.
10. Agree to comply with this chapter by signing a statement to that purpose.

Laboratories seeking, revising or transferring certifications or registrations must complete an application form provided by the department.



Application forms are available from the Lab Certification website at:  
<http://www.dnr.state.wi.us/org/es/science/lc/APPLICATION/AppForms.htm>

Note: Laboratories such as wastewater treatment plant labs, applying for only a limited suite of tests (one or more of the following: BOD, TSS, ammonia, total phosphorus, and chloride), should use the shorter Form 4800-02S. The complete (longer) application form (Form 4800-02) is required for larger laboratories doing more comprehensive testing.

### **Conditions where applications cannot be accepted**

The department may not accept applications seeking, revising, or transferring certifications or registrations from labs that:

- o have been issued a notice of violation (NOV) for nonconformance with this chapter if the nonconformance has not been corrected.
- o have been issued an administrative order of suspension or revocation for a violation of this chapter when the violation has not been corrected and the suspension or revocation period specified in an order has not elapsed.
- o are not in compliance with this chapter at the time they voluntarily withdraw their certifications or registrations, the nonconformance existing prior to relinquishing their certifications or registrations has not been resolved, and at least 6 months have not elapsed since the voluntary action was undertaken.

**Applications that are not completed within one year of receipt will be voided.**

On a case-by-case basis labs may be requested to submit additional information.

## **Initial Applications**

Initial applications must be completed (*and initial application fees are required*) in the following cases:

- o Labs that have never been accredited under this program
- o Previously accredited labs whose accreditations have lapsed or expired for more than a year.
- o Previously accredited labs who have previously voluntarily relinquished all their accreditations.
- o Labs seeking to expand their accreditations to include additional matrices.
- o Labs seeking reinstatement after a suspension or revocation.
- o Labs seeking to convert an existing registration to certification.
- o Labs ineligible for direct transfer of ownership. *Ownership transfer transactions involving the purchase or lease of equipment and where less than 60% of the analytical staff is retained are ineligible for transfer of accreditations.*

## **Revised Applications**

Revised applications must be completed (*and revised application fees are required*) when a lab already holds a valid accreditation and the lab is applying for additional:

- o Technologies for a matrix.
- o Analytes or analyte groups within a technology.
- o Methods for the drinking water matrix.

Labs seeking reinstatement of their accreditation within a year after failing to renew them must submit revised applications for the desired accreditations.

Labs seeking to convert existing certifications into registrations must submit a revised application. *NOTE: Conversion of registrations to certifications require initial applications.*

## **Transfer of Ownership Applications**

These situations typically occur when a laboratory or the company that owns and operates a laboratory is purchased by another company. In order to be eligible to transfer existing accreditations, the transfer of ownership must not involve the purchase or lease of (additional) equipment and at least 60% of the analytical staff must be retained.

If eligible to transfer accreditations, a lab shall submit an application for transfer of ownership (*and transfer of ownership application fees*).

If a lab's accreditations are not eligible to be transferred to a new owner, the lab must submit an initial application to obtain certification or registration for the fields of accreditation it desires.

Laboratories must notify the department of any change of ownership as soon as practical, but no later than 30 days after the change has occurred. As part of the notification, [the laboratory shall provide the department the number of analytical staff working or expected to be working at the facility 30 days before and after the ownership change.](#)

The department will notify the laboratory whether or not it is eligible to have the existing accreditations transfer to the new ownership or whether an initial application is required to be submitted by the new ownership. Once the department notifies the laboratory regarding which application type is required, the laboratory has 30 days after that determination notice to submit the required application.

### **Applying for Reciprocal Accreditation**

Labs holding valid certifications, registrations, accreditations, licenses or other approvals from [government bodies or private organizations](#) with which the department has an established reciprocal agreement [may](#) have their certifications, registrations, accreditations, licenses or other approvals considered for recognition by the department by submitting reciprocity applications (*and paying requisite reciprocity application fees*). (*see Program Administration section for further detail regarding reciprocal accreditations.*)

- o With the initial application and annually in June thereafter, submit documentation of accreditation status with the reciprocal agency.
- o With the initial application and annually in June thereafter, submit a copy of the report of the last on-site evaluation performed by the reciprocal agency.
- o Labs must notify the department of any changes to the accreditation status with the reciprocal agency, within 30 days of their occurrence.

The LabCert program maintains a current list of entities with which it has established reciprocal agreements at:

<http://www.dnr.state.wi.us/org/es/science/lc/INFO/Reciprocity.htm>

## Issuing Certificates

### Annual Renewal Certificates

Laboratories meeting all annual renewal requirements (*except PT samples must be received prior to August 15*) prior to September 1 of each calendar year will receive a new certificate on or before that date. The certification period ends on August 31 of each calendar year.

### Updated Certificates Related to Applications

The LabCert program will issue a certificate to a laboratory submitting an initial, revised, or reciprocal application for certification or registration within 30 days of the date by which the laboratory successfully completes an on-site evaluation, or the date on which the decision is made to waive an on-site evaluation.

Following an on-site evaluation, the program may issue certification or registration, on a case-by-case basis, for selected fields of certification or registration (or selected analytes) under application in fields that are unaffected by any deficiencies encountered during the onsite evaluation.

*NOTE: "field of accreditation" means a 3-tier combination of matrix – technology – analyte (group) [for aqueous or solid matrices] or matrix – method – analyte (group) [for drinking water matrix].*

## **Accreditation Period and Changes**

### Accreditation Period

The certification and registration period ***begins on September 1 and ends on August 31 of the following year*** for all labs certified or registered by the department.

### Renewal Process (annual)

#### Certification and Registration

Certifications or registration will be renewed each year for labs that complete the following ***prior to September 1*** of each year.

- Pay the required annual renewal fee and any assessed administrative fees.
- Submit – prior to August 15 - acceptable PT sample results as required.

### **Reciprocal Certification**

Reciprocal certifications or registration will be renewed each year for labs that complete the following *prior to September 1* of each year.

- o Pay the required annual renewal fee and any assessed administrative fees.
- o Submit documentation of their accreditations from the entity with which the department has the agreement.
- o Submit a copy of the most recent on-site evaluation report from the entity with which the department has the agreement.

### **Expiration of Accreditations**

Each calendar year, the certifications or registrations of labs failing to provide the information and fees specified above shall be voided on September 1.

### **Voluntary withdrawal of certifications or registrations.**

Laboratories may voluntarily withdraw certifications or registrations at any time by notifying the department in writing.

### **Laboratory relocation.**

This section applies *only* to those laboratories that are simply re-locating a laboratory already accredited by the LabCert program. This section does not apply to labs involved in transfer of ownership transactions, those that are also applying for additional accreditations, or those that are changing their accreditation structure in any way.

Laboratories relocating must notify the department in writing, at least 30 days prior to the relocation, of their change of address and any changes in their contact information. A revised certificate will be issued within 30 days of receiving the notification or the effective date of the relocation, whichever is later.

The department may perform an on-site evaluation of the relocating laboratory at its new location to determine the laboratory's continued ability to comply with the requirements of this chapter.

### **Laboratory name change.**

Laboratories that change names without changing ownership must notify the department in writing within 30 days of the effective date of the name change. [The program no longer requires an application or fee to effect a name change.](#)

Upon receipt of a request to change the laboratory name that does not

involve an ownership transfer, and where additional accreditations are not sought, an updated certificate will be sent to the laboratory within 30 days of receipt.