Global-Mark P/L

Management Document G-77
Title: Product conformance - CodeMark™ program
Type: Program Information Brochure

This document is external

Document Information and Revision History

Document Number	G-77
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Revision History

Revision	Date	Author(s)	Notes
1	25/9/2005	Herve Michoux	Original Release
2	12/8/2007	Herve Michoux	Minor change to risk assessment page (PC review of the factory)
3	21/7/2008	Herve Michoux	Updated section 9.5 (public information)
4	1/7/2009	Herve Michoux	Updated the section on Labs
5	23/2/2010	Herve Michoux	Update to include the requirement for Certificate of Installation
6	31/1/2014	Herve Michoux	Added the preliminary compliance folder review
7	12/9/2014	Laurent Michoux	Update to better represent New Zealand.
8	11/11/2014	Cassandra Burgin	Update header/footer
9	12/5/2017	Meilyn Michoux	Updated formatting
10	22/08/2017	Kelly Gillen	Updated to address Internal Audit findings
11	17/11/2017	Laurent Michoux	Updated to address new Scheme rules for Australia
12	29/11/2017	Laurent Michoux	Additional change for new Scheme rules for Australia
13	14/08/2018	Laurent Michoux	Updated Specific program conditions to clarify that only the schedule of fee on a day rate basis is to form the basis of engagement.
14	23/10/2018	Laurent Michoux	Update ISO10005 revision to 2005 per scheme rules and regulations
15	22/3/2019	Herve Michoux	Updated to comply with the outcomes of JASANZ Forensic audit
16	14/07/2020	Laurent Michoux	Add a clarification in relation of scope of certification Vs Scope of referenced documents.
17	16/11/2021	Herve Michoux	Updated as a result of JASANZ concerns with opinions (added to clause 8.10)
18	29/01/2023	Herve Michoux	Updated to reflect CodeMark NZ new scheme requirements
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1 Why do we have this document?

This document describes the certification program offered by Global-Mark Pty Ltd to clients seeking product certification under the CodeMark™ program. This document is subject to change without notice. The latest version is on our web site: www.Global-Mark.com.au. This document should be read as an extension to our Certified Product Program, as presented in Global-Mark document G-64.

2 Product conformance overview

Product conformance issues are becoming increasingly mandated by regulators or expected by consumers. Due diligence is also expected for in most product related litigation. Point of sale legislations in some states or countries require that products be tested, and certified before they can be offered to the market, or connected to a network or infrastructure.

CodeMark™ certification available for products needed to comply with the National Construction Code (NCC) in Australia and the NZBC in New Zealand. In this document BC is used to refer to the body of requirement to be considered in the jurisdiction considered. The certification is delivered by an independent accredited organisation like Global-Mark. Unlike other product conformance schemes which are claiming compliance of a product as it leaves the factory, CodeMark™ certification demonstrates compliance of a product once installed.

Once certified, a surveillance regime is put in place to ensure that throughout the supply chain, controls are maintained to the level required to ensure continued compliance.

Any change to the design, process, claim or requirements must be evaluated. This process provides the manufacturer or supplier the ability to continue to evolve the design of the product or extend the certified used.

3 References

- NZ CodeMark Scheme Rules 2022-1: Product certification scheme rules are made by the Chief Executive of the Ministry of Business, Innovation and Employment under section 272E of the Building Act 2004.
- Codemark Australia scheme rules Version 2016.1, published by ABCB (ABCB.gov.au)

4 Definitions (specific to NZ)

Chief executive	The chief executive of the Ministry of Business, Innovation and Employment (NZ)
Certificate holder	Has the meaning given to it in section 272E(5)(e) of the Act: *the proprietor of a building product or building method that has a current product certificate (whether registered or not).*
Critical component	Any component of a product where a PCB has low confidence in the component's contribution to meet Building Code compliance; ie a PCB is likely to require a greater level of assurance to ensure controls are in place to reduce the likelihood of the component compromising the product's compliance with the Building Code.
Critical nonconformity	See nonconformity.
Evaluation plan	Has the meaning given to it in Regulation 6(4) of the Regulations: *Evaluation plan, In relation to a building product or building method, means a plan that sets out—* *(a) what is to be certified (including scope and limitations of use); and* *(b) the means by which it will be demonstrated that the building product or building method meets the product certification criteria; and* *(c) the timing and method of the audits and inspections to be carried out to ensure that the building product or building method continues to meet the product certification criteria.*
Major nonconformity	See nonconformity.
Mark of conformity	A symbol that signifies that the building product has a registered product certificate. In these scheme rules, refers to the CodeMark mark of conformity which is associated with the CodeMark scheme in New Zealand and is a registered trade mark under the Trade Marks Act 2002.
Minor nonconformity	See nonconformity.
MBIE	Ministry of Business, Innovation and Employment.
Nonconformity	Finding that demonstrates an instance of non-fulfilment of specified requirements. Nonconformities can be minor, major or critical: Minor nonconformity: the potential impact is not likely to compromise Building Code compliance (eg aspects of the quality plan are not being followed but because of other factors compliance is not compromised). Major nonconformity: the potential impact is likely to compromise Building Code compliance if no remedial action is taken to correct it within a specified period. Critical nonconformity: the potential impact is considered to compromise Building Code compliance.
PCB	See product certification body.

Person	Has the meaning given to it in section 7 of the Act: *person includes—* *(a) the Crown; and* *(b) a corporation sole; and* *(c) a body of persons (whether corporate or unincorporate).*
Post-manufacture surveillance	Surveillance of a certified building product or building method that is a tangible product, conducted after manufacture, to assess whether it is materially the same as any sample that was evaluated.
Product certificate	Has the meaning given to it in section 7 of the Act: *Product certificate means a certificate issued under section 269 of the Act in relation to a building product or building method.*
Product certification accreditation body	A person appointed by the Chief Executive of MBIE under section 261 of the Act to assess and accredit product certification bodies for the CodeMark scheme.
Product certification body (PCB)	A person who evaluates and certifies building products and building methods. Also see accredited PCB, registered PCB, responsible PCB. Guidance: A PCB must be accredited (by the product certification accreditation body) and registered (by MBIE) to issue product certificates under the CodeMark scheme.
Quality plan	Has the meaning given to it in Regulation 3 of the Regulations: *Quality plan, in relation to a building product or building method, means the quality plan submitted under regulation 13 of the Regulations in relation to the building product or building method.*
Registered PCB	Has the meaning given to it in section 7 of the Act: *registered PCB means a person who has been registered as a product certification body under section 267A and whose registration is not suspended and has not been revoked.*
Registered product certificate	Has the meaning given to it in section 7 of the Act: *registered product certificate means a product certificate that has been registered under section 272A and the registration for which is not suspended and has not been revoked.*
Regulations	Building (Product Certification) Regulations 2022.
Remote audit	An audit of a facility conducted using information and communications technology by an auditor who is not located at the site where the audited processes are performed.
Responsible PCB	Has the meaning given to it in section 7 of the Act: *responsible PCB, in relation to a product certificate or the proprietor of the building product or building method to which it relates, means—* *(a) the registered PCB that issued the certificate; or* *(b) if the certificate has been reviewed under section 270 of the Act by a different registered PCB, the registered PCB who conducted the most recent review under that section.*
Scheme	See CodeMark scheme.
Scheme rules	These rules for the CodeMark scheme in New Zealand.
Standard	Capitalised (ie Standard): refers to a particular published national or international Standard Not capitalised (ie standard): where this word appears in AS/NZS ISO/IEC 17065 or any other document associated with, related to, or required to be read with the CodeMark scheme, means the criteria and standards for product certification prescribed in the Regulations and the scheme rules.
Surveillance audit	Set of activities to monitor the continued fulfilment of either accreditation or certification criteria. Surveillance includes both on-site and remote monitoring and other surveillance activities.
Type test	Testing of a building product to establish the basis for certification; ie conformity with the applicable Building Code requirements for its intended use(s).
Verification method	Has the meaning given to it in section 7 of the Act: *verification method means a verification method issued under section 22(1).* Guidance: Verification methods are produced by MBIE and, if followed, must be accepted by a building consent authority as evidence of compliance with the Building Code.

5 Definitions (specific to Australia)

See the ABCB CodeMark Australia Scheme rules

6 CodeMark Workflow overview

See Appendix 3

7 The CodeMark™ Scheme

The CodeMark Scheme is managed by the ABCB in Australia and MBIE in New Zealand (referenced as the Scheme Administrator), and the competence of the third-party certification bodies is assessed, accredited and monitored by the Joint Accreditation System of Australia and New Zealand (JAS-ANZ).

The ABCB is a joint initiative of all levels of Australian Government, in co-operation with the building industry. The ABCB was established by an inter-government agreement signed by the Australian Government and State and Territory Ministers responsible for building regulatory matters.
The ABCB is responsible for:

- developing and managing a nationally uniform approach to technical building requirements, embodied in the Building Code of Australia (BCA);
- developing a simpler and more efficient building regulatory system; and
- enabling the building industry to adopt new and innovative construction technology and practices.

MBIE came into existence on 1 July 2012. It integrates the functions of the former Department of Building and Housing, Ministry of Economic Development, Department of Labour and the Ministry of Science and Innovation and as such is responsible for building regulatory matters in New Zealand.

The Scheme Owner or JAS-ANZ may from time to time change, clarify, and update the rules of the scheme and/or its associated requirements (including relevant State and Territory variations and additions which apply.

- Global-Mark will notify Certificate holders of changes
- Certificate holders are responsible for implemented and complying with the changes.
- Global-Mark shall ensure that all certifications are reviewed and appropriate action taken to ensure compliance with the applicable BC, and CodeMark Scheme Rules is maintained within 3 months of the amendments coming into effect.

CodeMark™ certification is based on the existence and maintenance of a Product Quality Plan and a (or a number of) suitable technical evidences including but not limited to test reports issued by an Approved Laboratory, Engineering opinions.
The method of evaluation shall include not only the review of the suitable technical evidences but also factory, supply chain and/or construction site inspections, sufficient to ensure that compliance is being achieved and is capable of being maintained.

The BC often refers to Australia, New Zealand or other published Standards: Certification to the CodeMark program, may include certification of the product to the relevant Standard, as presented in Global-Mark's Certified Product Program (refer to G-64 Certified Product - Program Information Brochure).

In 2017 the ABCB released Australia specific scheme rules. Australian and New Zealand CodeMark scheme are now governed by different scheme rules.

8 Responsibilities of the Certificate Holder (i.e. Client)

The Certificate holder shall:

- comply[LM1] with the CodeMark Scheme Rules, and Global-Mark requirements including the use of the Mark of Conformity requirements and the surveillance and renewal process
- develop, implement and maintain a Product Quality Plan (or Product Support Plan) that details the procedures and associated resources required for the manufacturing, testing, packaging, branding, delivery, installation and commissioning of a certified product This plan must be consistent with ISO 10005:2005 in NZ or either ISO 10005:2005 or ISO9001 in Australian;
- ensure the certified Product is manufactured in accordance with the Product Quality Plan and any conditions associated with the Certificate of Conformity and that it is materially the same as any sample that was evaluated;
- have and maintain the records necessary to demonstrate the implementation of the Product Quality Plan;
- address identified non-conformity in accordance with CodeMark Scheme Rules;
- support the complaint investigations as requested by Global-Mark, JAS-ANZ and the relevant Scheme Administrator;
- notify in writing Global-Mark of:
    - any intended change, modification or alteration to the certified Product (or its method of manufacture, Product Quality Plan, installation instructions, etc.);
    - any reason to suspect the certified Product may not comply with the BC;
    - any intended change to the name, address or contact details of the Certificate holder place(s) of Product manufacture;
- where certified Product that is found not to comply with the BC or claims made to the certificate has been released on to the market;
    - Activate the recall procedure of the Product Quality Plan relating to the Certified Product,
    - Notify in writing Global-Mark, JAS-ANZ and the relevant Scheme Administrator or the non conformance and report these recall action activated
    - Issue public disclosure statements through means acceptable to Global-Mark, JAS-ANZ and the relevant Scheme Administrator
- if certification has been suspended or withdrawn – notify existing customers of this change in status and immediately cease the use of the Certificate of Conformity, Mark of Conformity and Certificate of Conformity number;

- reproduce the Certificate of Conformity only in its entirety; and use the Mark of Conformity in accordance with the conditions of the scheme rules and in particular mark the certified product or its packaging.
- Have and is able to demonstrate effective control over the manufacturing, testing, packaging, branding, delivery, installation and commissioning of a certified product.
- Ensure that the Certified Product is identified as such by applying the Mark of Conformity to the Certified Product or its packaging.
- Ensure that the supporting information required for the correct use of the certified product in accordance with the certificate of conformity is available on request.
- ensure that compliance with updates to the relevant AS/VM listed on the CodeMark certificate is avalailble and presented to Global-Mark, so that the CodeMark certificate can be updated within 3 months of the updates being published.
- Comply with the requirements of the "certificate holder" as requirements in the scheme rukes.

9 Responsibilities of Global-Mark (under CodeMark NZ scheme)

Global-Mark must:

(a) only use the mark of conformity in accordance with Schedule 1 of the Scheme rules: Use of the mark of conformity; and

(b) in the event of any amendment to the Building Code or any other document relevant to the CodeMark scheme rules including the Act, the Regulations, the scheme rules, any documents included by reference in the Regulations or the scheme rules, or any relevant New Zealand *Gazette* notice, that may affect any current product certificates Global-Mark is responsible for:
   i) review all its certification decisions within three months of the amendments taking effect; and
   ii) take appropriate action at the end of the three-month period to ensure compliance with the amendments; and

(c) conduct an additional audit of a building product or building method for the purposes of reviewing a product certificate if directed in writing by the accreditation body (JAS-ANZ) or the Chief Executive (of MIBE), taking into account any matters they may identify, and report the outcome of this audit to the accreditation body and the Chief Executive; and

(d) inform the accreditation body within 20 working days of the end of each quarter of:
   i) the number and type of active CodeMark applications in its system, including the scope of these applications and anticipated audit and inspection timeframes; and
   ii) any product certificates it has become the responsible PCB for during the quarter by conducting a review under section 270(3) of the Act; and

(e) inform the Chief Executive in writing within five working days of any changes to the information provided under regulation 9(a), (c) and (d) of the Regulations; and

(f) provide all relevant information requested by the Chief Executive as soon as reasonably practicable to assist with any:
   i) audit of Global-Mark under section 267B of the Act; and
   ii) decision whether to suspend or lift a suspension of registration of Global-Mark; and
   iii) decision whether to suspend or to lift a suspension of registration of a product certificate.

(g) Must comply with all applicable requirements under ISO/IEC 17065.

10 Certification process

This approval involves:

- **Initial assessment** (the following is not necessary chronologically)
- Client makes formal application by completing the **client agreement form.**
- Global-Mark will organise a visit (factory and/or site) or teleconference to discuss the client's product, manufacturing, testing and installation conditions. The aim of this step is to verify that the specification and claims are capable of being evaluated, and to assist in determining the appropriate method of evaluation.
- Client supply the application form and the available supporting evidences
- A risk assessment is conducted on the product or system seeking certification, taking into account supply chain, factory assurance systems, installation and logistics considerations etc. . See Appendix for risk assessment criteria. The outcome of the risk assessment informs the frequency of surveillance activities (factory and site inspections)
- **Preliminary compliance folder review (Optional).** This step is undertaken to:
    - Review the client application form details
    - Review the content (or proposed content) of the compliance folder proposed (or provided) by the client
    - Report on the adequacy and completeness of the application, scope of the application, proposed compliance evidence or test/verification plans
    - The report provided by Global-Mark indicates that it is for Global-Mark assessment purpose only, is incomplete and cannot be used by other certification bodies for the purpose of a CodeMark assessment until formally accepted by Global-Mark.

Program summary card	
Issue	**Program rules/comments**
Standard	The National Construction Code of Australia (NCC) or, the New Zealand Building Code (NZBC), Clause(s) number
Any other relevant document	Relevant State and Territory variations and additions which apply. Global-Mark's Standard Complement (documents with prefix SC-) Global-Mark's production control requirements (G-11)
Target audience	Any company
Global-Mark output document	Certificate of Conformity
Certificate validity period	3 years
Certification mark that can be used by the client	Applicable CodeMark™ logo Certificate of Conformity number
Can this make be used on product?	Yes
Periodicity of post certification reviews?	12 monthly
Periodicity of re-certification review	3 years
Steps to and post certification	
Application	✓
Document review	✓
Pre-certification review	Optional
Certification review	✓
Product technical file review	✓
Follow-up review	✓
Post certification review	✓ (CodeMark surveillance levels are defined during Evaluation plan definition)
Re-certification review	✓

- Global-Mark will prepare a risk assessment to assess the surveillance level needed for the product
- The outcome of this step will be the completion of an **evaluation plan.**
- Client presents the balance of the compliance folder. The file must contain a quality plan and any other required supporting evidences: Laboratory report (acceptable test report or other report), trial, engineering calculation or opinion) to be presented and reviewed by Global-Mark
- Global-Mark conducts the reviews as per the evaluation plan. This steps can include:
    - Review of the **product quality plan**
    - Review of the manufacturer's production control system for the critical locations, which needs to comply, as a minimum to Global-Mark's production control requirements (G-11)
    - Review of the construction site and supply chain critical location
    - Review of the compliance folder by the different required Technical Experts to confirm that the performance of the system support the compliance claims
    - The combine body of review is **evaluation report**
- Subject to the above review, Global-Mark will issue a **certificate of conformity** (valid for 3 years)

- The **certificate of conformity** is valid for the product or a range of product of similar use, characteristic, material and production processes, as tested.
- Under this program, the CodeMark must be affixed to the product or its packaging and can be added to the supporting literature
- If any of the product critical components is changed, Global-Mark needs to be notified (using the **design lock change form**). Continued compliance with the certificate claims must be confirmed by Global-Mark prior to the change implementation the. Additional evidences may be required including testing.
- Business review at the manufacturer of the production system to ensure that production process is stable and capable
- Selection of a sample (by Global-Mark or authorised representative), including random visit to a site(s)
- Sample to be tested by an approved laboratory

On-going assessment

- On-going review (minimum yearly)
- Review and approval of changes during the life cycle of the product (using the **design lock change form**)
- On-going sampling and testing of the product (as the product changes, as defined in the BC or relevant State or Territory variation, standard or when **approved test reports** expire)

11 Program specific definitions

11.1 General

- **ABCB:** Australian Building Codes Board
- **Accredited certification body (CodeMark certification body):** An organisation accredited by JAS-ANZ under the CodeMark Scheme to issue Certificates of Conformity, like Global-Mark.
- **Alternate Solution:** Has the same meaning as Performance solution that given in the BCA as amended from time to time or as Alternate Solution that given in the NZBC as amended from time to time
- Registered Testing Authority: means—
  (a) an organisation registered by the National Association of Testing Authorities (NATA) to test in the relevant field; or
  (b) an organisation outside Australia registered by an authority recognised by NATA through a mutual recognition agreement; or
  (c) an organisation recognised as being a Registered Testing Authority under legislation at the time the test was undertaken.
- **Approved Laboratory:** suitable and competent body(ies) or person(s) carrying out testing, inspection and certification as specified in ISO/IEC 17025 and ISO/IEC 17020. An approved Laboratory should issue an
- **Acceptable Test Report (ATR).**
  There will be instances where an organisation issuing a "test report" or "report" is not formally accredited. Global-Mark will on a case by case basis assess the acceptability of this report and issuing organisation taking into account:
  - The independence, competence and credibility of the organisation
  - The availability of accredited providers in this field
  - The availability of a published and accepted test method
  - The type of report issued: it could be a trial report, an opinion, engineering calculation or other
  - The context in which the report is presented and its importance in forming a certification decision (this may be one part of the compliance folder, where other aspects are provided by accredited providers)

  Global-Mark will make an assessment and reserves the right to accept or reject the evidence provided from such organisations.
- **Building Code:** is the Building Code of Australia (BCA) in Australia or the New Zealand Building Code (NZBC) in New Zealand.
- **Mark of Conformity:** The CodeMark™, which is a trademark of the ABCB in Australia and MBIE in New Zealand.
- **Certificate of Conformity:** A document issued by Global-Mark, in accordance with the requirements of this program, which certifies that the properties and performance of a Product complies with the requirements of the applicable Building Code.
- **Certificate holder:** The party to whom a Certificate of Conformity has been issued in relation to a Product. A Certificate holder may be a manufacturer, assembler, distributor, retailer of the Product or any part thereof. The Certificate holder is responsible for ensuring the Product meets, and continues to meet, the requirements on which the certification is based. For the purpose of the CodeMark program the Certificate holder must have, and be able to demonstrate, effective control over the manufacture, testing, packaging, branding, delivery, installation and commissioning, as appropriate, of the Product in question.
- **CodeMark Committee:** A Committee comprising representation from all State/Territory building control administrations and MBIE, chaired by the ABCB.

- **Deemed-to-satisfy:** Has the same meaning as that given in the BCA as amended from time to time.
- **Mark of Conformity:** the (CodeMark) certification mark applied by or issued under the CodeMark Scheme Rules for a Product which has been issued with a Certificate of Conformity.
- **Non-Conformances:** there are three levels of nonconformity:
    - **Critical** nonconformity, where the potential impact warrants immediate corrective action.
    - **Major** nonconformity where the potential impact is likely to compromise compliance if no remedial action is taken to correct the nonconformity within a specified period.
    - **Minor:** a nonconformity where the potential impact of the nonconformity is not likely to compromise compliance. An example is where aspects of the Product Quality Plan are not being followed, but because of other factors compliance is not compromised.

  We take into account the nature and significance of any nonconformity when determining whether the relevant requirements of the BCA have been met. If any there is one or more critical or major nonconformity, we cannot recommend certification (on-going or re-certification) until the non-conformity has been cleared or downgraded.
- **Notices:** Communications sent to Certificate holders or CodeMark certification bodies shall be deemed to have been received if sent by appropriate technology to one or more of the most recently received contact details for that recipient.
- **Product:** Any building material, method of construction or design used in building work including systems, processes and services.
- **Product Quality Plan:** A document specifying which procedures and associated resources shall be applied by whom and when to a specific Product and its manufacture and is consistent with ISO 10005:2005.
- **Register of Certificates of Conformity:** a central register of all Certificates of Conformity that have been issued by CodeMark certification bodies.
- **Register of CodeMark certification bodies:** A central register of all CodeMark certification bodies
- **Standard:** For the purposes of the program, where the word "standard" appears in ISO/IEC Guide 65 or any other document associated with this program, it is taken to mean the applicable Building Code (BC).

11.2 Unrestricted Building Certifier (UBC): **A building certifier licensed in a State or Territory without any restrictions on that License.**

11.3 Equivalence to Global-Mark Product Certification Program:

The following table provides equivalence between the rules and terms of the CodeMark scheme, and the Global-Mark Product Certification program:

CodeMark scheme rules/definitions	Global-Mark equivalent
Certificate Holder	Client
Certificate of Conformity	Certificate of Approval
Product Quality Plan	Product support plan
Non-Conformances	Review findings
Critical and Major non-conformances	Non-conformance
Minor non-conformance	Improvement request

12 Specific program conditions

12.1 General

- Tests reports need to be no older than 3 years.
- Other conditions are presented in G-11.
- The duration of the work to be undertaken is highly dependent on the range of product/system considered, code clauses claimed, the use scenario and the ability of the client to provide supporting evidences. Estimations provided are the best guess of the client manager at the time based on the information provided by the client and are not to be considered the basis for a formal quotation. For this program, the engagement is limited to the day rate based fee structure as detailed in the applicable schedule of fee. Should the estimation be proven to be insufficient, Global-mark commits to let the customer know of the situation and to not engage resource in excess of the estimation without approval to do so.

12.2 Independent testing of products

Global-Mark reserves its right to select additional samples and completed independent tests. The results of the test will be presented to the manufacturer. Costs associated with the additional sampling and testing must be paid by the Global-Mark client.

12.3 Notification to Scheme Owner

- Within 7 days of the issue or renewal of a Certificate of Conformity, Global-Mark must provide a copy to Scheme Owner

- Within 7 days of the withdrawal or suspension of a Certificate of Conformity, Global-Mark must notify Scheme Owner

12.4 Reasons for terminating, reducing, withdrawing, suspending or canceling certification

- Your Global-Mark Client Manager must advise the client in writing of the reasons for terminating, reducing, withdrawing, suspending or canceling certification. Copy will be forwarded to the Scheme Owner.
- Termination, reduction, withdrawal, suspension or cancellation of certification may be decided if:
  - A breach of the applicable scheme rules, governing procedures or Certificate of Conformity conditions is identified,
  - a critical nonconformity is identified
  - the client fail to complete corrective actions within the agreed timeframe;
  - the Global-Mark® and/or Mark of Conformity is misused;
  - the financial requirements of the agreement entered into with Global-Mark is not complied with; or
  - the client brings Global-Mark into disrepute in any way.
- In addition the Scheme Owner and JAS-ANZ reserved the right to:
  - suspend the certification if any of these transgressions can be rectified within 30 days
  - withdraw the certificate if any of these transgressions cannot be rectified within 30 days
- The Scheme Owner, JAS-ANZ or Global-Mark may publish a list of cancelled Certificate Holders.

12.5 Non-Conformances

- Where more than one related minor nonconformance is raised which collectively are likely to present a high risk or potential risk, the nonconformances are to be classified as critical or major immediately.
- The applicant (or Certificate Holder) cannot gain certification until critical or major nonconformities have been corrected and the corrective action verified by Global-Mark.
- Critical or major nonconformances will require onsite verification or verification by testing, or by examination of revised product instructions, depending on the nature of the nonconformity. This will be conducted during a follow up review.
- If the Certificate of Conformity has already been issued when a critical or major nonconformance has been issued the Certificate Holder must take action to clear (and verified by Global-Mark) within 3 months: if this is not met the Certificate of Conformity will be cancelled.

12.6 Dealing with Review findings (Corrective Actions under the CodeMark rules scheme):

Critical nonconformity

- A RF is to be raised requiring immediate corrective action to be taken. Further products shall not be produced until the RF is closed. Critical nonconformity will require verification of effective implementation of corrective action.
- If the RF is not closed out by the agreed date, the Client Manager in consultation with the Global-Mark Program Manager shall immediately suspend or withdraw the Certificate of Conformity.

Major nonconformity

- A RF is to be raised and a close out date set. The close out date shall not exceed 7 days. Major nonconformity will require verification of effective implementation of corrective action.
- If the CAR is not closed out by the agreed date, the Client Manager will determine that the nonconformity is now a critical nonconformity and take appropriate action.

Minor nonconformity

- A RF is to be raised and a suitable closeout date agreed with the Certificate holder. The closeout date should reflect the potential impact of the nonconformity and its ease of rectification. Close out will normally be at the next post certification review.
- If a minor RF is not closed out by the agreed date, the Client Manager will review the reasons for non-closure with the Certificate holder and depending on the nature of the nonconformity and its potential to affect compliance, will take one of the following actions:
  - Determine that a minor nonconformity still exists, cancel the existing RF and raise a new RF with a new closeout date agreed with the Certificate holder, reporting the action in the evaluation report; or
  - Determine that the nonconformity is now a major or critical nonconformity and raise a RF with a closeout date as required for major or critical nonconformity.

12.7 BC Updates

The BC is updated from time to time. As part of this cycle, Global-Mark asks clients to confirm their awareness of the changes as it affects their products, and also confirm their compliance to the new BC requirements.
Clients need to complete and submit, within 3 months of the BC update being published a **BCA/NZBC Update Form**, together with the support documents to demonstrate compliance with the new requirements.

12.8 Certificate of Installation

It is a requirement of our program, that installation(s) covered by the CodeMark Certificate(s) be issued a Certificate of Installation. A sample of such a Certificate is provided, as an example in Appendix 2. The Certificate shall be issued by

the Installer, and a copy shall be provided to the building owner (or builder depending the stage of the building) and a copy kept by the company undertaking the installation.
It is expected that client may incorporate the Certificate of Installation in an equivalent document or process: this is accepted. Assessment of this requirement will be made by Global-Mark during reviews and on site inspections.

12.9 Timing of the implementation of the Certificate of Installation requirement

All existing clients: implementation is required to be completed within 12 months of the issue of this document
All new clients: implementation is required before Certification can be issued

12.10 Acceptance of a "certificate or report from a professional engineer or other appropriately qualified person" (including appraisals)

This approach to certification is provided under NCC Volume 1, Clause A.2.2 (or equivalent clauses or provisions under NCC Volume 2 or NZBC). This may also be referred to as an "Opinion" or "Technical report".
Global-Mark requires that:

- The report is submitted by a credible, independent, competence organisation or person. Global-Mark may require additional information, including but not limited to the credentials of the individuals involved in the report
- Additional test reports / data or other referenced reports be submitted to Global-Mark (in particular compliance of the test facility to ISO17025 should be considered). Evidence from the laboratory may be required
- The report should include a statement of "certification" that a material, design or form of construction complies with the requirements of the Code or Standard.

Global-Mark maintains its right to reject parts or the complete certificate or report.

13 Risk Assessment

13.1 Purpose

The purpose of the risk analysis is to assess the chance of a problem occurring that will have an impact on the performance of the Product in terms of the specific requirements of the BC including any relevant State and Territory variations and additions.

13.2 Factors considered in the risk analysis shall include:

1. Manufacture

- nature of Product materials, variability of raw materials, history of quality, and the complexity of manufacture;
- extent and nature of sampling and testing;
- number of sites involved in manufacture, assembly, and related activities;
- issues of public safety;
- nature of Certificate holder, e.g. importer, manufacturer, etc.;
- number of employees involved with production and quality control;
- packaging and distribution and
- ease of rectification.

2. Supply Chain

- Risk of modification, alteration and deterioration of the product or od one of its component
- Ability to detect such modification, alteration and deterioration of the product or od one of its component downstream

3. Installation

- the effect and consequence of poor installation;
- the complexity of installation and the skill levels required;
- onsite conditions likely to be detrimental to installation;
- the effects of exposure (elements or physical damage) to the product before, during or after installation; and
- the importance of 'order of construction'.

3. The level of risk is assessed in terms of the magnitude of the consequence and the likelihood of a problem occurring in either the manufacturing or installation process. The Risk Assessment Matrix shall be used to assist in determining the level of risk.

13.3 Risk assessment process:

The risk assessment should be completed using the Criteria presented in Appendix 1 and recorded in the **evaluation plan**. The risk assessment determines the level of surveillance of the product.

13.4 Construction site inspections

If required, construction site inspections are to be carried out for the following as part of the certification review:

- to confirm the practicability of installing the product;
- to confirm the appropriateness and accuracy of installation instructions;
- to review the recommended methods of handling and storage;
- to identify any adverse conditions that might impact on the performance of the Product; and/or
- to confirm that compliance can be reliably achieved by appropriately competent installers following the instructions.

A further reason for construction site inspections is to evaluate the in-service performance of a Product. This acts as monitoring and confirmation of the opinions/assessment developed from laboratory testing and other means.

13.5 Certification documents (a CodeMark requirement)

The Certificate of approval: will be developed in conjunction with the client.

Public information: to be made available by the Certificate Holder on the Certified Product (s) must include the following as appropriate:

Scope of Use of the Product

- The scope of use is to define all suitable applications and conditions under which the Product may be used. This includes BCA, Standard or Certificate holder requirements for any other product or system that directly interacts with the Product, or may in some way affect its performance when in use.
- Any limitations to the application of the Product must also be stated.

Technical Specification

- The technical specification must include detailed descriptions of all individual components and accessories that are required for the Product, which are supplied and/or specified by the Certificate holder. The technical specification must also advise who is responsible for the supply of each item. The description of all individual components and accessories must be detailed enough so that they can be adequately identified on site.

Technical Information – Design, Installation and Maintenance

- The technical information must contain explicit, detailed information on the design, use, installation and maintenance requirements of the Product. It must identify all critical aspects relating to the BCA requirements, to be taken into account by the building professionals during the design stage in order for the Product to perform successfully.

Note: In some cases, publicly available documents referenced on the certificate may include applications that are outside of the scope of certification as defined by the certificate. Only the applications explicitly identified on the certificate under the conditions listed on the certificate are covered. The reference to these documents does not imply that these applications are certified.

14 Conditions of use of the CodeMark™ logos

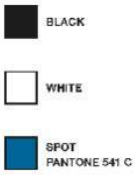
The following conditions are above and beyond the conditions presented in the Welcome Pack (document G-00)

14.1 Issue of the Mark of Conformity

- The Mark of Conformity shall remain the property of the ABCB in Australia and MBIE in New Zealand
- The Certificate of Conformity, Mark of Conformity or reference to Global-Mark shall only be used or made during the life of Certificate of Conformity, and for products that have been Certified, and for which the Certificate is still current.
- Certified clients under the CodeMark program shall be entitled to display the Mark of Conformity on their website or in promotional and advertising material.
- If a client has been issued a Certificate of Conformity covering a range of products, within which 1 or more products are not certified, the client needs to clearly declare and make it visible to potential users, that the non-certified products are NOT covered by the Certificate of Conformity. The fact that the CodeMark Mark of Conformity is not applied on the non-certified products is not enough to satisfy this requirement.

14.2 Use of the Mark of Conformity

- Clients having achieved a Certificate of Conformity **shall** use the CodeMark Mark of Conformity on Certified products or their packaging and can also use the CodeMark Mark of Conformity on attached documentation or labels.
- The Mark of Conformity shall be used only in association with a Certificate of Conformity number.
- The Mark of Conformity and Certificate of Conformity number shall only be used with a valid Certificate of Conformity.
- The Mark of Conformity may be applied directly to the Product by stamping, printing, moulding, etching, labelling, etc. The Mark of Conformity may be applied to the Product packaging, information sheet or advertising materials.
- The Mark of Conformity should be used on all Products certified under the CodeMark program.
- Any deviations from the approved format, detailed in this appendix, are required to be approved by the Scheme Owner in writing.

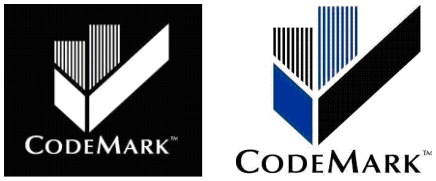


14.3 Acceptable Formats

Acceptable formats for the Mark of Conformity are: Full colour, two colour and monotone reproduction. The two colour Mark of Conformity is made up of the CodeMark blue and black. When reversed it is all in white. When the Mark of Conformity is to be used in single colour work it is to appear all in black on a light background or all in white when on a dark background.

In Australia

In New Zealand



. The logo must always be used with the Certificate of Conformity number.

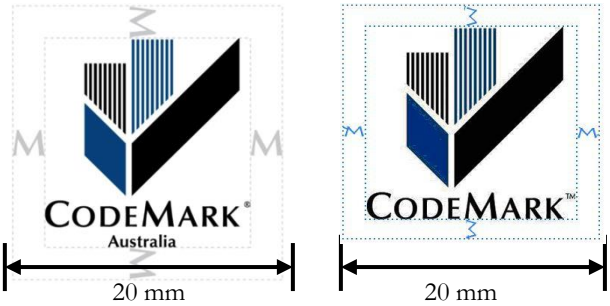
CODEMARK® Australia Certificate [insert number here]

CODEMARK™ (Certificate#)

14.4 Correct Use of the Mark of Conformity

To retain the integrity of the mark the following guidelines apply:

- the minimum clear space as per diagrams.
- do not adjust the proportions or any part of the mark including clear space.
- it should not be reproduced smaller than 20mm wide.
- Reference the Certificate of Conformity number issued by Global-Mark



14.5 Optional Statement

In some cases, Certificate holders may wish to include an additional statement, typically used on product packaging and marketing literature. Accordingly use either of the following paragraphs:

- "This product is marked with the CodeMark Scheme Mark of Conformity. This indicates that the conformity of our product is based upon technical documentation and review of our manufacturing and quality control process to monitor our ability to consistently produce the product in compliance with the requirements of Clauses xxxxx of the BCA."
- "Compliance of this product with the requirements of Clauses xxxxx of the NZBC is monitored by Global-Mark."

Note: BCA can be replaced by NZBC and vis-versa as applicable

14.6 Limitations for use of the Mark of Conformity or Certificate

- Failure to comply with the condition of the use of the mark of conformity will result in a critical non-conformance being issued by Global-Mark on the certificate holder.
- The Mark of Conformity may only be used in advertising that is specific to the certified Product. When more than one product is advertised, the Mark of Conformity may only be used in association with the certified Product.
- Certificate holders shall not use Product certification in such a manner as to bring the Scheme Owner, JAS-ANZ or Global-Mark into disrepute or make any statements regarding Product certification which may be considered misleading or unauthorised.
- Upon suspension or withdrawal of a Certificate of Conformity, the use of advertising matter that contains any reference to the Mark of Conformity must discontinue immediately.
- In making reference to a Certificate of Conformity in communication media such as:
    - documents;
    - brochures; and
    - advertising,

It is the Certificate holder's responsibility to ensure continued compliance with the requirements of Global-Mark and CodeMark program Rules.

Should the Certificate of Conformity be suspended or withdrawn the Certificate Holder must notify their existing CodeMark customers of this change of status and immediately cease using the Mark of Conformity, Certificate of Conformity and Certificate of Conformity number.

15 What documents/records are needed to understand this program

In order to understand our program, you should also access and be aware of the following documents:

- G-00: Welcome Pack

- G-11: Product conformance program – Production control requirements
- G-64: Program Information Brochure – Certified Product Program
- MSP-00: Introduction to our management systems
- MSP-01: Nomenclature and definitions
- MSP-24 Appeals

End of document

Appendix 1: Risk Assessment Criteria (Australia)

Risk Assessment Matrix		Magnitude of consequenses and impact of manufacturing vs. installation problem					
		Substantial		Moderate		Minor	
		Likelyhood of manufacturing problem	*Likelyhood of Installation problem*	*Likelyhood of manufacturing problem*	*Likelyhood of Installation problem*	*Likelyhood of manufacturing problem*	*Likelyhood of Installation problem*
Likelihood of problem	Likely	High	High	High	High	Medium	Medium
	Possible	High	High	Medium	Medium	Low	Low
	Unlikely	Medium	Medium	Low	Low	Low	Low

Legend:

Risk Assessment (completed by Global-Mark)

Factory & site > 50%	**Level G:** Level E + Construction Site Review/visit (at Certification) + yearly thereafter
Factory>50%, Site<20%	**Level F:** Level C + Factory Review (at Certification) + yearly thereafter
20%>Site>50% Factory<50%	**Level E:** Level D + Construction Site Review/visit (at Certification) + 3 yearly thereafter
20%>Factory>50% Site<20%	**Level D:** Level C + Factory Review (at Certification) + 3 yearly thereafter
Factory & Site <20%	**Level C:** Product Test + Product Support Plan + 12 monthly Post Certification Review of factory

Definition:

Substantial: Extensive impact on structural sufficiency, safety, and/or health and amenity (consistent with the BCA objectives).
Moderate: Medium impact on structural sufficiency, safety, and/or health and amenity (consistent with the BCA objectives).
Minor: Little impact on structural sufficiency, safety, and/or health and amenity (consistent with the BCA objectives).

Appendix 2: Risk Assessment Criteria (NZ)

Global-Mark shall complete and retain records demonstrating technically justifiable rationales for the consequence and likelihood scores assigned while carrying out a risk assessment.

Table 1: Risk assessment steps

Step 1	Consider the consequences of failure of the building product or building method in its intended use(s) and the impact with respect to the building, its occupants, or other property, and assign a consequence score between 1 and 3, where: 3 – major impact 2 – moderate impact 1 – minor impact.
Step 2	For building products only (for building methods, go to Step 6): Identify risk factors with the potential to affect the building product's Building Code compliance during **manufacture**, considering at least the following: (a) nature of product materials, variability of raw materials, history of quality and process control, and complexity of manufacture; and (b) extent and nature of sampling and testing, including whether onsite production testing is available, and standard of testing facilities; and (c) number of sites involved in manufacture, assembly, and related activities; and (d) nature of certificate holder, eg importer, manufacturer; and (e) nature of manufacturer including factors relating to location and whether remote audits are proposed, length of time in operation, familiarity or otherwise with product being considered for certification; and (f) skill level of employees at the manufacturing site, and number of employees involved with production and quality; and (g) manufacturing conditions and controls for possible contamination during manufacture; and (h) ease of rectification.
Step 3	Consider the likelihood of non-compliance with respect to each factor identified, based on current controls (as known by a PCB through its pre-evaluation activities), and assign a likelihood score between 1 and 3 where: 3 – very likely 2 – likely 1 – unlikely.
Step 4	Multiply the highest likelihood score with the consequence score to establish a manufacture risk score.
Step 5	Compare the manufacturing risk score to the values in **Table 2** to establish minimum requirements for **manufacturing site audits** during evaluation and also during surveillance (if the building product is certified), in accordance with rules **Error! Reference source not found.** to **Error! Reference source not found.**.

Step 6	Repeat Steps 2-4 to establish an installation risk score for building products or building methods with respect to **installation,** replacing the factors in Step 2 with the following: (a) complexity of installation; and (b) required skill level, including whether trained applicators or installers are required; and (c) training materials (if any) and likelihood of there being insufficiently skilled installers; and (d) quality of the installation instructions; and (a) co-ordination of step-by-step installation process / trades, installers, materials; and (e) importance of 'order of construction'; and (f) interaction (if any) with other building products or components; and (g) effects of exposure from the elements or physical damage to the product before, during or after installation; and (h) whether other onsite conditions are likely to be detrimental to installation; and (i) accessibility of product following installation.
Step 7	Compare the installation risk score to the values in **Table 3** to establish minimum requirements for **installation inspections** during evaluation and also during surveillance (if the building product is certified), in accordance with rules **Error! Reference source not found.** to **Error! Reference source not found.**.

Table 2: Requirements for manufacturing site audits (building products) based on risk severity

Risk assessment matrix		**Consequence**		
		3	**2**	**1**
Likelihood	**3**	**9:** Initial and annual audits at manufacturers of building product and critical components (refer to rule **Error! Reference source not found.**)	**6:** Initial and two-yearly audits at manufacturers of building product and critical components (refer to rule **Error! Reference source not found.**)	**3:** Initial and three-yearly audits at manufacturer of building product
	2	**6:** Initial and two-yearly audits at manufacturers of building product and critical components (refer to rule **Error! Reference source not found.**)	**4:** Initial and two-yearly audits at manufacturers of building product and critical components (refer to rule **Error! Reference source not found.**)	**2:** Initial and three-yearly audits at manufacturer of building product
	1	**3:**	**2:**	**1:**

		Initial and three-yearly audits at manufacturer of building product	Initial and three-yearly audits at manufacturer of building product	Initial and three-yearly audits at manufacturer of building product

KEY:

Risk score of 9: Very low level of confidence in manufacturer
Risk scores of 4-6: Low level of confidence in manufacturer
Risk scores of 1-3: Normal level of confidence in manufacturer

Table 3: Requirements for installation inspections (building products and building methods) based on risk severity

Risk assessment matrix		**Consequence**		
		3	**2**	**1**
Likelihood	**3**	**9:** Initial and annual inspections (refer to rule **Error! Reference source not found.**)	**6:** Initial and three-yearly inspections (refer to rule **Error! Reference source not found.**)	**3:** No minimum requirements
	2	**6:** Initial and three-yearly inspections (refer to rule **Error! Reference source not found.**)	**4:** Initial and three-yearly inspections (refer to rule **Error! Reference source not found.**)	**2:** No minimum requirements
	1	**3:** No minimum requirements	**2:** No minimum requirements	**1:** No minimum requirements

KEY:

Risk score of 9: Very low level of confidence in installation consistency
Risk scores of 4-6: Low level of confidence in installation consistency
Risk scores of 1-3: Normal level of confidence in installation consistency (no more than common building trades required)

Appendix 2: Sample Certificate of Installation

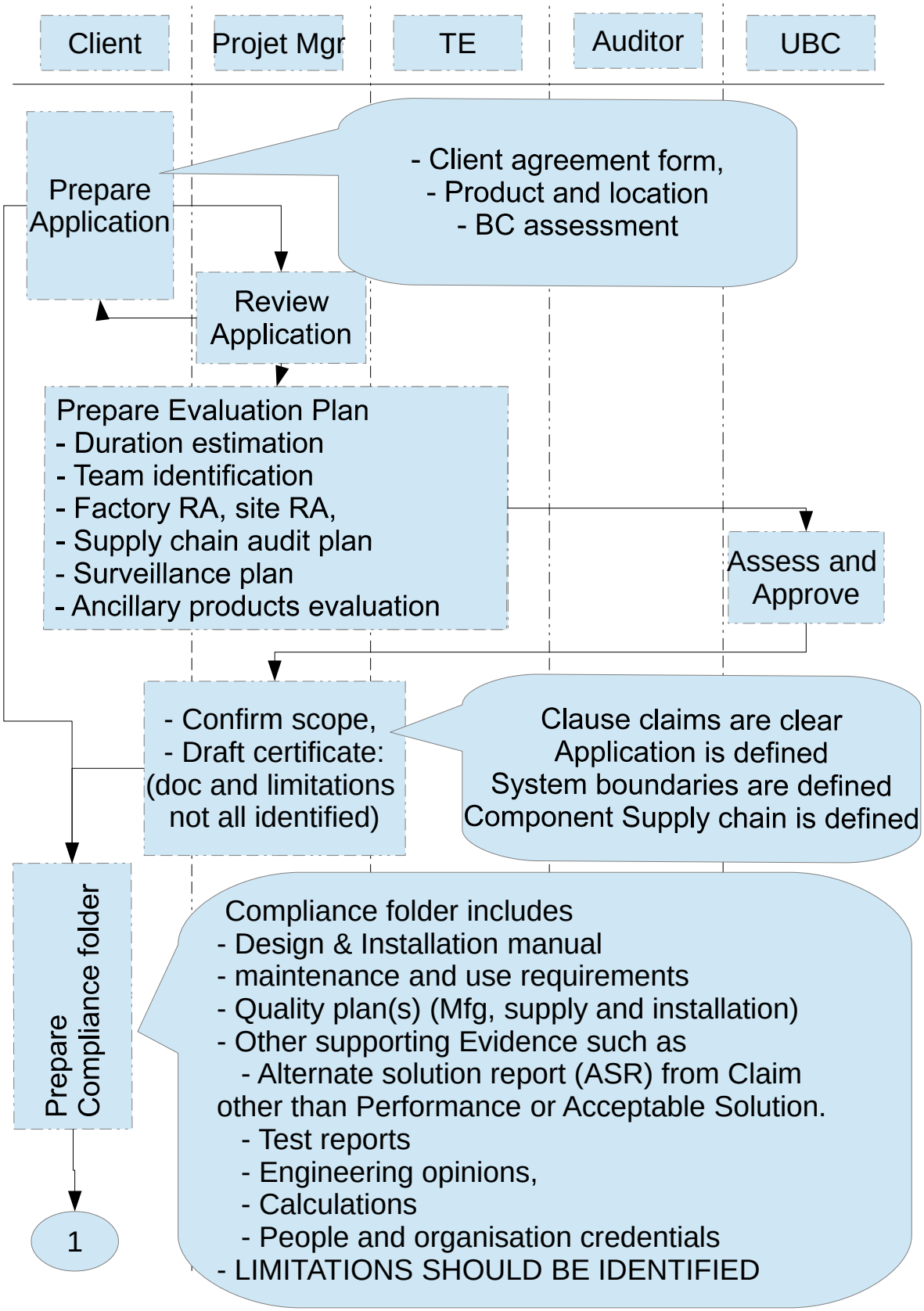
Certificate of Installation			
Manufacturer's details			
Installer's company name			
Date(s) of installation		**Quantity of material installed**	
Property/address where installation took place		**Batch number(s) of product installed**	
Location/zone where product(s) was installed			
Comments on installation			
Applicable installation instructions			
Deviations from installation instructions			
Installer Declaration:	**We declare and confirm that the installation was completed as per the manufacturer's instructions**		
Installer signature	**Name**	**Installer registration or approval number:**	**Date signed**
Installer supervisor signature	**Supervisor Name**	**Supervisor registration or approval number:**	**Date signed**

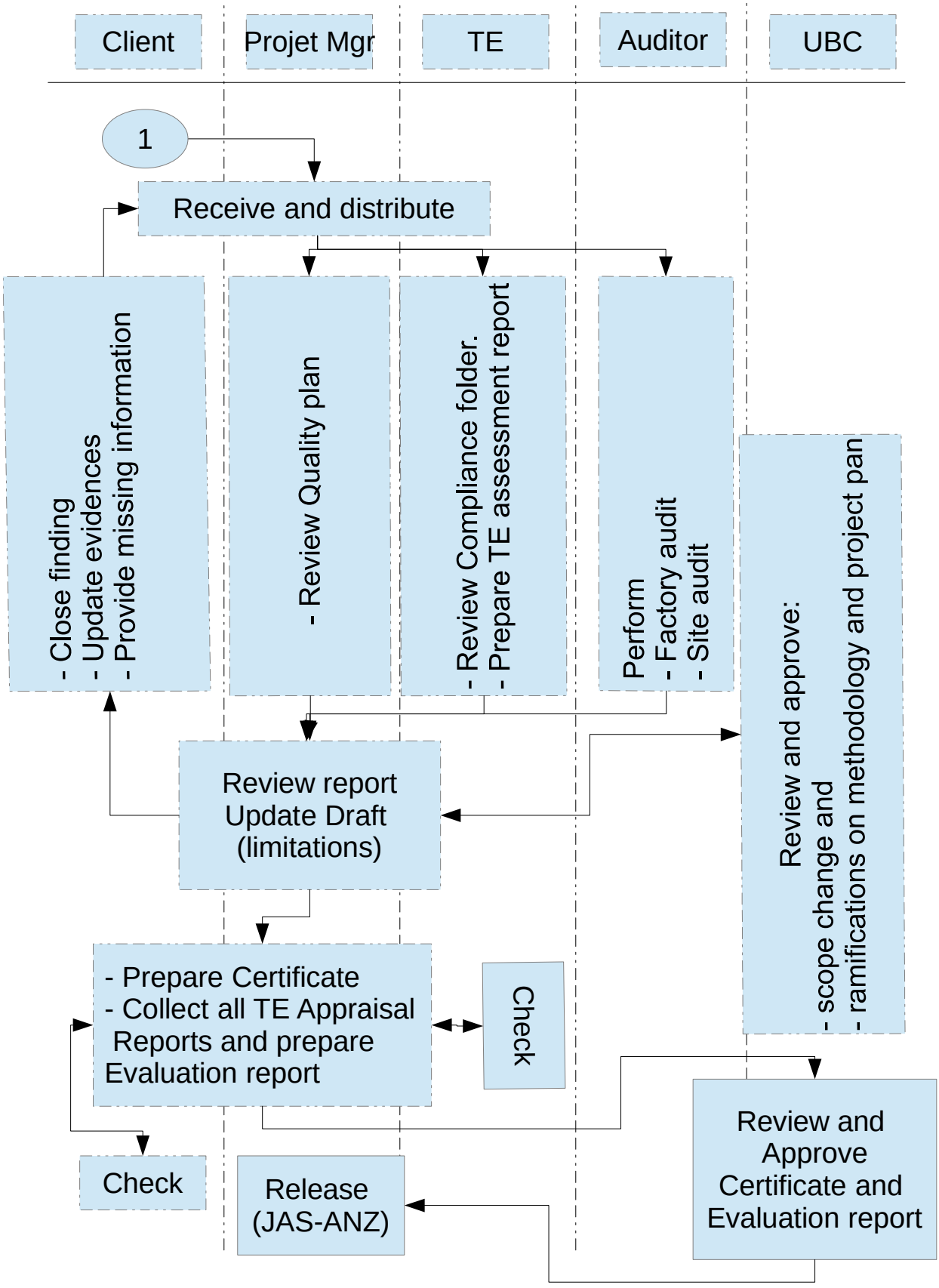
A copy of this Certificate should be provided to the builder or owner. Copy kept as record by the installation company

EXAMPLE

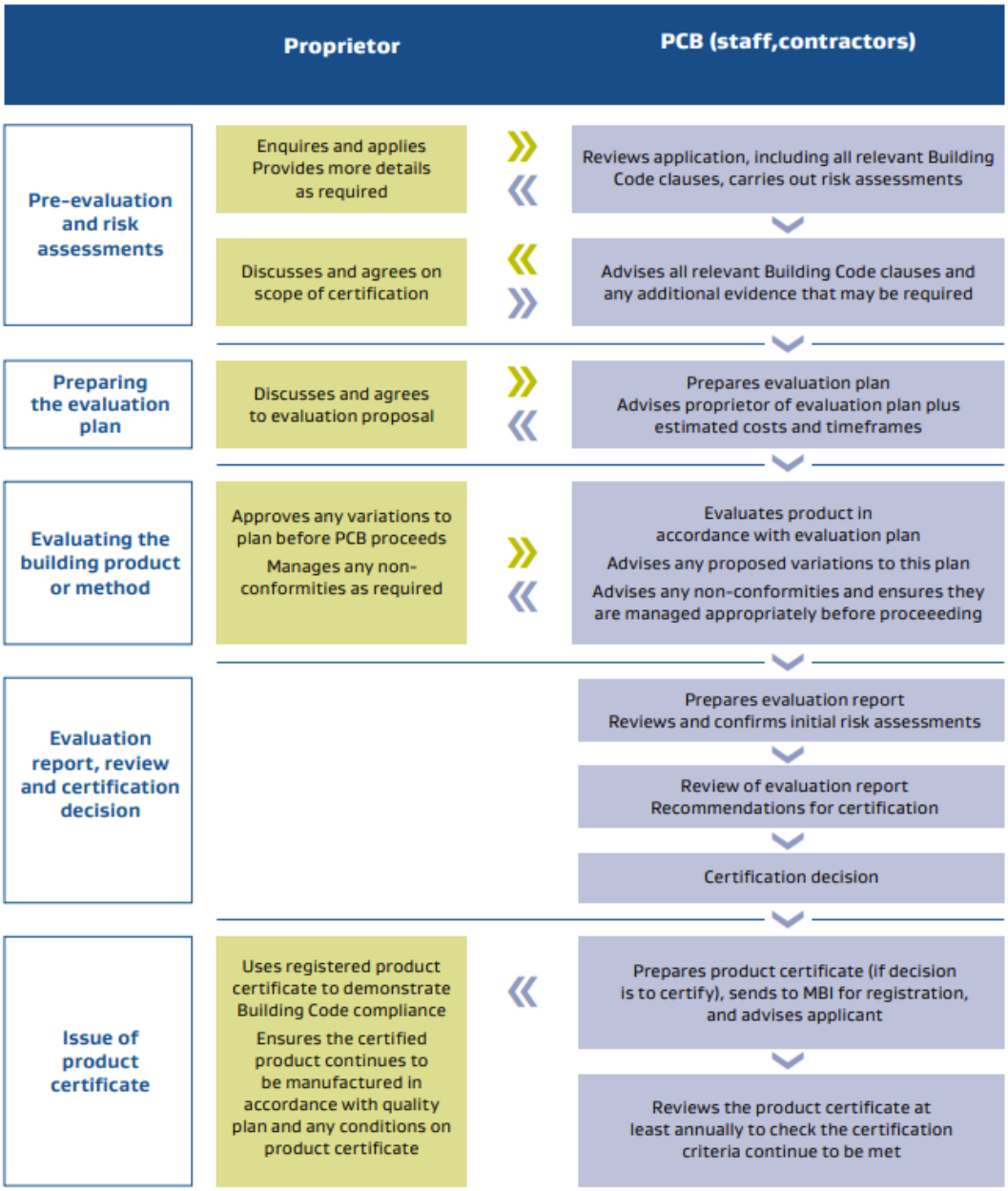
Certificate of Installation			
Manufacturer's details	ABC Panel Systems Pty Ltd		
Installer's company name	Panels Are Ready Pty Ltd, Coffs Harbour		
Date(s) of installation	Started 1/6/2009, completed 15/9/2009	**Quantity of material installed**	112 panels
Property/address where installation took place	**Lot 51, 32 Bay Street, Coffs Harbour, for Constructions ZZ Pty Ltd (builder)**	**Batch number(s) of product installed**	**3 pallets: AA13-56-12** **1 pallet: AA13-45-1**
Location/zone where product(s) was installed	The complete envelop of the building, less 2 sections on the rear (south side) of the building, for access as per drawings 1447-Rev A		
Comments on installation	No termite protection was installed, as instructed by the builder. Service penetrations (water, gas, fire, and electricity) were not in place and we were advised that the respective trades will cut into the panels		
Applicable installation instructions	ABC Installation Manual, Version 7, Dated 11/2008		
Deviations from installation instructions	As mentioned above, no provision for services was made		
Installer Declaration:	**We declare and confirm that the installation was completed as per the manufacturer's instructions**		
Installer signature Trevor Jones	**Name** Trevor Jones	**Installer registration or approval number:** NSW-025	**Date signed** 16/9/2009
Installer supervisor signature Fred Henry	**Supervisor Name** Fred Henry	**Supervisor registration or approval number:** NSW-Sup-056	**Date signed** 16/9/2009

Appendix 3: CodeMark Workflow overview





Appendix 4: CodeMark NZ evaluation process overview



Note:

- Review of evaluation report must be done by someone not involved with preparing or carrying out the evaluation plan (ISO/IEC 17065: 7.5.1)
- Certification decision must be made by the PCB itself (ie. not subcontracted), and by someone not involved in preparing or carrying out evaluation plan (ISO/IEC 17065:7.6)

End of the document