

Surveillance and Renewal Policy & Procedure

This document has been produced by the Administration Department of CertMark International (CMI).

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INTRODUCTION

This policy has been produced following confirmation that the previously allocated 3 (three) months' notice was not sufficient to allow payment of invoice, completion of audit, rectification of any Non-Conformities and re-issue of a CoC, within the audit deadline.

This document outlines the CMI Policy and Procedure for Surveillance and Renewal Audits, including invoicing.

NOTIFICATION TO CLIENT

Notification should be provided to the Certificate Holder 4 (four) months in advance of the Certification activity due date.

It is recommended that the Certificate Holder conduct a self-assessment of their documentation to ensure the following – this may result in the identification of issues which could be rectified prior to the Auditor conducting the review, reducing the subsequent fees associated with the rectification of N/Cs.

The following checklist should form the basis of the self-assessment of technical documentation:

- Testing must be conducted by an accredited testing facility with the specific standard under their scope of accreditation and be provided in English.
- Within 5 (five) years – testing/report(s) require validation or re-testing
- International testing not supported by suitably qualified persons should be either tested to Australian Standards (by accredited testing) or validated.

INVOICING AUDIT ACTIVITY

Following notification to the client of the impending audit activity, the invoice must be submitted to the client in accordance with the relevant scheme fee structure. Payment of the invoice should be made to allow sufficient time for CMI to conduct the audit and close out any N/Cs, which may include re-testing. This is in line with Scheme Rules, CMI Terms & Conditions and CMI Certification Agreement.

NON-PAYMENT OF INVOICE

Should the invoice remain unpaid by the due date, the following steps will occur:

1. accounts will follow up payment of the unpaid invoice(s);
2. should the invoice not be paid within the next 7 (seven) days, the matter will be escalated and a Major N/C will be issued with 7 (seven) days to rectify;
3. if 7 (seven) days are exceeded, the non-conformity is escalated to Critical with the Certificate of Conformity Suspended immediately until payment made.

PAYMENT OF INVOICE & SCHEDULING WORKS

Following payment of the invoice, works are scheduled for completion by the relevant auditor, being either Technical Compliance (Building Code/Standard) or Product Quality Plan (PQP) Compliance (Quality Assurance – ISO 10005).

CONDUCTING THE AUDIT ACTIVITY

Reasonable Time to finalise the audit

CMI must be allowed sufficient time to enable the certification activity to be completed. This includes rectification of any N/Cs issued during the course of the certification activity. 4 (four) months notification is provided to the Certificate Holder with 14 (fourteen) day payment terms. Ideally, CMI will be allowed a minimum 3 (three) months notice to allow for works already scheduled, conducting the Audit activity and close out any N/Cs which may be identified, which again allows for works already scheduled.

Should the due date for the audit be exceeded, regardless of the reason for the certification activity not being completed, the certificate will be Suspended until such time as the activity has been finalised, as per Scheme Rules.

Insufficient time to allow for the audit to be finalised

A minimum of 3 (three) months is required to enable reasonable time to complete the Audit, specifically to allow for the rectification of any N/Cs by the Client and time required for CMI to review the additional evidence for a decision on close out.

Delay in being able to conduct Onsite Audits

Part of Surveillance and Renewal Audits may be an onsite audit to verify PQPs. If CMI are unable to facilitate the auditor on site, allowing sufficient time for the rectification of any potential N/Cs, the Audit due date may be exceeded resulting in the suspension of the Certification until such time as the N/Cs are closed out.

Delay in supply of requested documentation

Where CMI request copies of documentation, whether it be PQP evidence or testing, manuals etc, a delay in sending this through means a delay in scheduling the work for completion. As per the above, sufficient time must be allowed for the completion of the audit, including rectification of N/Cs etc.

Queue of existing works

It must be noted, that any time, CMI may have a number of weeks' worth of works booked in. In order to schedule this work, CMI's auditors and technical staff are allocated their workload with travel and accommodation pre-booked. CMI will not disrupt the existing order of works already scheduled. All work orders will be scheduled in order of receipt of required documents/payment etc. depending on the nature of the works required.

CORRECTIVE ACTION REQUESTS

If a Non-Conformity is issued to a Certificate Holder, a Corrective Action Request (CAR) must be promptly provided setting out:

- a.** a description of each non-conformity (CAR number);
- b.** the Audit activity;
- c.** the severity;
- d.** the section of the report (if relevant);
- e.** comments of the action required to correct the non-conformity; and
- f.** the date by when the action must be completed (the close out date).

Once evidence has been submitted to CMI, it will be reviewed to determine any further action. The CAR will then be re-issued to the Certificate Holder for review.

N/Cs must be closed out by both the certification activity due date and the CAR close out date to prevent any possible further action by CMI, including Suspension.

Any time or works required, in order to facilitate the close out of N/Cs, is billable separate to the certification activity and is billable per hour.

Non-Conformity Severity

- Minor N/Cs require no immediate action. Usually a timeframe of 30 (thirty) days is provided to close out the N/C.

- Major N/Cs will result in the certification activity being unable to be finalised, a maximum of 7 (seven) days is provided to enable the N/C to be closed out, including both the supply of the additional data and the subsequent review by CMI to determine whether close out can be granted.
- Critical N/Cs will result in the immediate suspension of the Certification.

The severity of a N/C will be escalated, should the N/C not be closed out by the due date or sufficient explanation be provided as to the granting of an extension.

TERMINATION/REDUCTION/SUSPENSION/WITHDRAWAL

CMI must notify, in writing, the Certificate Holder, the Scheme Accreditation Body and the Scheme Administrator of any termination, reduction, suspension or withdrawal of certification and the reasons for the termination, reduction, suspension or withdrawal.

If a certification is withdrawn, certification must be applied for again with the required certification activities to be completed.

LICENSE NUMBERS

It is at the discretion of CMI as to whether a new License number is to be issued for any reason.

USE OF THE MARK OF CONFORMITY

An approved User, who is also a Certificate Holder, upon termination, suspension or withdrawal of a Certificate of Conformity, must:

CodeMark Australia

Certificate Holder Responsibility	<ul style="list-style-type: none"> a. Immediately cease and ensure no further products are manufactured with the certification mark; and b. discontinue immediately the use of advertising material that contains any reference to the Mark of Conformity; c. immediately remove the Mark of Conformity from any documentation and websites; and d. comply with the terms contained in written directions issued by the Certification Body associated with the termination, suspension or withdrawal of the Certificate of Conformity.
Scheme Rules Reference	Section 5, General Rules 52. of CodeMark Australia Scheme Rules Version 2016.1
Failure to Rectify Non-Conformance	Failure to adhere to the close out date will result in the Certificate Holder's Certificate of Conformity being Suspended.

CodeMark New Zealand

Certificate Holder Responsibility	<ul style="list-style-type: none"> a. Immediately cease and ensure no further products are manufactured with the certification mark; and b. discontinue immediately the use of advertising material that contains any reference to the Mark of Conformity; c. immediately remove the Mark of Conformity from any documentation and websites d. comply with the terms contained in written directions issued by the Certification Body associated with the termination, suspension or withdrawal of the Certificate of Conformity.
Scheme Rules Reference	Appendix 1, Requirements for Product Evaluation, 3.4.1 of The CodeMark Scheme Rules - Australia and New Zealand Version 2009.1 – 27 March 2009
Failure to Rectify Non-Conformance	Failure to adhere to the close out date will result in the Certificate Holder's Certificate of Conformity being Suspended.

WaterMark

Certificate Holder Responsibility	<ul style="list-style-type: none"> a. for products in stock or in production – removal of the WMCC Number and WaterMark or rework to ensure compliance with the conditions of certification; b. for products already despatched – removal of the WMCC Number and WaterMark or recall of the product identified on the relevant WMCC and rework to ensure compliance with the conditions of certification; c. immediately remove the Mark of Conformity from any documentation and websites; and a. a public disclosure.
Scheme Rules Reference	Section 8, Procedure for Certification, 8.15 Non-conformance of Manual for the WaterMark Certification Scheme Version 2016.1
Failure to Rectify Non-Conformance	Failure to adhere to the close out date will result in the Certificate Holder's Certificate of Conformity being Suspended.

Type Test

Certificate Holder Responsibility	<ul style="list-style-type: none"> a. for products in stock or in production – removal of the WMCC Number and WaterMark or rework to ensure compliance with the conditions of certification; b. for products already despatched – removal of the WMCC Number and WaterMark or recall of the product identified on the relevant WMCC and rework to ensure compliance with the conditions of certification; c. immediately remove the Mark of Conformity from any documentation and websites; and d. a public disclosure.
Scheme Rules Reference	Section 3 – Operation of the Certificate of Conformity, 3.6 Renewal, Expiry and Cancellation of Certificate of Conformity.
Failure to Rectify Non-Conformance	Failure to adhere to the close out date will result in the Certificate Holder's Certificate of Conformity being Suspended.