Evidence in Support of Certifications

This document has been produced by CMI Certification Pty Ltd (CMI).

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PREFACE

Product Certifications and Evaluation Reports issued by CMI are based upon the specific requirements of either the relevant Standard or Building Code, which provides a specific approach to determine the minimum criteria for determining the product meets the minimum performance or material requirements.

In accordance with Section 7.4 of ISO/IEC 17065, CMI must evaluate products against the requirements covered by scope of the certification and other requirements specified in the Certification Scheme.

As part of each certification, CMI must conduct a thorough review of all supplied data which is supplied in support of the application. CMI have generated this document to outline the criteria for such acceptance.

Further to the above, CMI have included into this document, the requirements of regulatory bodies as relevant to the scheme.

1. INTRODUCTION

1.1 Purpose: The purpose of this acceptance criteria is to establish general requirements for laboratory tests submitted to CMI in support of applications for CMI Certifications and reports.

1.2 Scope: This criteria includes requirements for test reports and testing laboratories, and for sampling of specimens used in tests to qualify products for recognition in Certifications and reports.

1.3 Acknowledgement: For the purpose of this Acceptance Criteria, test reports also extend to calculations conducted in accordance with the relevant standard.

1.4 Referenced Documents:

1.4.1 National Construction Code (NCC) Evidence of Suitability Handbook.

1.4.2 CodeMark Scheme Rules.

1.4.3 WaterMark Scheme Rules.

1.4.4 CMI ProdCert Scheme.

2. DEFINITIONS

Accredited Test Laboratory *for the purpose of the* ***CodeMark Scheme & WaterMark Scheme*** *means:*

a. an organisation accredited by the National Association of Testing Authorities (NATA) to undertake the relevant tests; or

b. an organisation outside Australia accredited to undertake the relevant tests by an authority recognised by NATA through a mutual recognition agreement; or

c. an organisation recognised as being an Accredited Testing Laboratory under legislation at the time the test was undertaken.

Approved Type Test Laboratory *for the purpose of* ***CMI ProdCert Scheme*** *means:*

a. A Laboratory with its scope of testing activities recognised by the National Association of Testing Authorities (NATA) to undertake the relevant Type Tests; or

b. A Laboratory with its scope of testing activities recognised by ILAC Member or EC Directive Notified Bodies Laboratories to undertake the relevant Type Tests; or

c. A Laboratory accredited but the specific test is not listed in the Laboratory Accreditation Scope and its scope of testing activities accepted. Refer to CMI Acceptance Criteria for Evidence in Support of Certifications AC-ESC to undertake the relevant Type Tests; or

d. A Special Facility such as a University/Specialised (Independent)/Regulatory etc – which due to its structure is independent to the manufacturer/client and has by its specialised nature, the expertise/equipment to undertake the testing required. Refer to CMI Acceptance Criteria for Evidence in Support of Certifications AC-ESC.

Approved Batch Test Laboratory *for the purpose of the* ***CodeMark Scheme, WaterMark Scheme & CMI ProdCert Scheme,*** *where applicable, means:*

a. *A Laboratory accredited and its scope of testing activities recognised by the National Association of Testing Authorities (NATA) to undertake the relevant Batch Tests; or*
b. *A Laboratory accredited and its scope of testing activities recognised by ILAC Member Member or EC Directive Notified Bodies Laboratories to undertake the relevant Batch Tests; or*
c. *A Laboratory accredited but the specific test is not listed in the Laboratory Accreditation Scope and its scope of testing activities accepted. Refer CMI Acceptance Criteria for Evidence in Support of Certifications AC-ESC to undertake the relevant Batch Tests; or*
d. *A Special Facility such as a University/Specialised (Independent)/Regulatory etc – which due to its structure is independent to the manufacturer/client and has by its specialised nature, the expertise/equipment to undertake the testing required. Refer to CMI Acceptance Criteria for Evidence in Support of Certifications AC-ESC to undertake the relevant Batch Tests.*
e. *A Client/Distributor/Manufacturers test facility with its specific scope of testing meeting as appropriate the specific Batch Tests and accepted. Refer to CMI Acceptance Criteria for Evidence in Support of Certifications AC-ESC to undertake ongoing batch control tests against specific standards.*

Appropriate authority *means the relevant authority with the statutory responsibility to determine the particular matter.*

Appropriately qualified person *means a person recognised by CMI Certification as having qualifications and/or experience in the relevant discipline in question.*

Certificate of Accreditation *means a certificate issued by a State or Territory accreditation authority stating that the properties and performance of a building material or method of construction or design fulfil specific requirements of the BCA.*

Client *means the organization or person responsible to CMI for ensuring that certification requirements, including product requirements are fulfilled. Whenever the term "Client" is used in this Scheme, it applies to both the "applicant" and the "Client", unless otherwise specified.*

Distributor *means a person/organisation who purchases the product or components of the system from a Manufacturer and distributes to Market. Where the Manufacturer distributes direct to market on behalf of the Client, the Client is still considered to be the Distributor.*

Insurance Council of Australia Recognised Testing *means an organisation recognised as a 'Testing Organisation' by the Insurance Council of Australia to undertake the relevant tests.*

Manufacturer *means a person/organisation where the product/system is assembled into its final form as described on the Certificate of Conformity.*

NATA/ILAC *means NATA and organisations that have a mutual recognition agreement with NATA. NATA is part of the International Laboratory Accreditation Co-operation Mutual Recognition Arrangement (ILAC MRA). Other accreditation bodies that are signatories to the ILAC MRA are responsible for maintaining a list of testing laboratories that they have accredited.*

The ILAC MRA Signatory Search provides the contact details for all the accreditation bodies that are signatories to the ILAC MRA. Using the ILAC MRA Signatory Search can assist the appropriate authority in determining if a particular testing laboratory has a mutual recognition agreement with NATA. NATA maintains a register on its website of current accredited testing facilities and laboratories.

Non-Mandated Testing *means any testing that is not mandated under the National Construction Code (NCC) but can be used to demonstrate compliance to particular features of a product. It may also refer to testing that has no specific standard called up in the NCC.*

Testing must be conducted by a suitably qualified (NATA/ILAC) Laboratories, accredited for similar testing in the relevant field, and the report from the Laboratory must be of a standard that demonstrates the testing was conducted to appropriate technical rigour.

Product Technical Statement *means a form of documentary evidence stating that the properties and performance of a building material, product or form of construction fulfil specific requirements of the NCC, and describes—*

a. the application and intended use of the building material, product or form of construction: and
b. how the use of the building material, product or form of construction complies with the requirements of the NCC Volume One and Volume Two; and
c. any limitations and conditions of the use of the building material, product or form of construction relevant to (b).

Professional engineer *means a person who is—*

a. if legislation is applicable — a registered professional engineer in the relevant discipline who has appropriate experience and competence in the relevant field; or
b. if legislation is not applicable—
i. registered in the relevant discipline on the National Engineering Register (NER) of the Institution of Engineers Australia (which trades as 'Engineers Australia'); or
ii. eligible to become registered on the Institution of Engineers Australia's NER and has appropriate experience and competence in the relevant field.

3. SCHEME SPECIFIC REQUIREMENTS

3.1 CodeMark Australia Scheme

The NCC has provided the following list of various forms of documentary evidence that can be used to support a claim that a material, product, form of construction or design meets a Performance Requirement or a Deemed-to-Satisfy Provision.

3.1.1 Certificate of Accreditation

A Certificate of Accreditation is issued by a State or Territory accreditation authority under the applicable State or Territory building legislation. A State or Territory accreditation authority will assess a building component for compliance with the NCC.

The definition of a Certificate of Accreditation requires the certificate to state that the properties and performance of a building component fulfil specific requirements of the NCC. The certificate will also contain any conditions and limitations on the use of the building component and any other relevant information that is required to ensure compliance.

A Certificate of Accreditation issued by a State or Territory accreditation authority may be used as evidence of suitability in another jurisdiction for the purpose of demonstrating compliance with the NCC, if the appropriate authority deems it appropriate to do so. The appropriate authority would need to be confident that the criteria used in the appraisal which the certificate is based upon is appropriate for the particular State or Territory in which the building component is to be used.

3.1.2 Report issued by an *Accredited Test Laboratory*

A report is issued by an *Accredited Test Laboratory* to show that a building component has been subjected to particular tests and sets out the results of those tests including any other relevant information that demonstrates its suitability for use in the building. An Accredited Testing Laboratory can also issue test certificates to certify that a particular product or system satisfies specified requirements.

The report issued by the *Accredited Test Laboratory* should list how the building component complies with the relevant requirements of the NCC and set out the tests it has been submitted to, the results of those tests and any other relevant information that has been relied upon to demonstrate suitability.

3.1.3 Non-Mandated Testing

A report issued by a suitably qualified (NATA/ILAC) Laboratory that demonstrates the compliance of a product or system, to an agreed industry accepted method of testing or standard, that results in a particular property or performance characteristic being verified.

Non-Mandated testing may be used to provide confirmation of a particular property or performance characteristic that is not specifically called up under the NCC, however, may be a requirement of CMI or suitably qualified person(s), Licensed Professional Engineers etc, engaged by CMI or, where approved by CMI, the Client. Another example of where this testing may be required is during Post Manufacture/Supply Chain Surveillance where the certified product may be required to undergo Characteristic Type Testing.

3.1.6 A certificate or report from a professional engineer or other appropriately qualified person

3.1.6.1 A professional engineer or appropriately qualified person may issue a certificate or report verifying the suitability of a building component, form or construction or design so long as the certificate or report:

- provides the basis on which verification of suitability has been made in a form that can be subjected to scrutiny; and
- references any standards, specifications, software or other publications or documents relied upon in verifying suitability.

3.1.6.2 A professional engineer is a person recognised by an appropriate authority or registration body (such as Engineers Australia (EA) or the National Engineering Register (NER)) to provide documentary evidence. When assessing the suitability of a certificate or report under this evidence option, CMI should verify as necessary that the report author has the registration/license within the Areas of Practice relevant to the subject matter of the report.

3.1.6.3 An appropriately qualified person is a person recognised by CMI to provide documentary evidence. When assessing the suitability of a certificate or report under this evidence option, CMI Certification will need to verify that the report author has experience and competence commensurate with the subject of the report.

3.1.6.4 As part of accepting an assessment or report from a professional engineer or appropriately qualified person any referenced test reports or other supporting reports which are referenced within the supplied assessment or report **MUST** also be supplied before the assessment or report can be accepted.

3.1.7 Another form of documentary evidence

This evidence option is another form of technical documentation, other than a document already covered by A5.2(1)(b)-(e), which demonstrates compliance with the NCC.

This evidence option is included on the basis that the other options are not an exhaustive list and there may be other forms of documentary evidence that are appropriate for some circumstances. This may include, but is not limited to, information provided by a product manufacturer.

Evidence submitted under this option should:

- suitably describe the subject of the document;
- set out any conditions that the statement of verification relies upon;
- describe limitations to the statement of verification where applicable;
- contain or refer to construction or installation standards where necessary; and

- reference any standards, test reports, specifications, or other publications relied upon for verifying suitability.

In many instances, documentary evidence submitted under this option may need to be supported by other documentation such as an appraisal or opinion from a recognised industry body or qualified professional. The appropriate authority should consider if this form of evidence is suitable for determining compliance with the NCC.

As previously mentioned, this form of documentary evidence may be more appropriate for building components that have historically demonstrated successful performance in the built environment and where the consequences of failure have been assessed as low.

A Product Technical Statement is one type of other documentary evidence that is specifically mentioned in A5.2(1)(f). Further information on Product Technical Statements is provided in section 4 of the Evidence of Suitability Handbook, available on request.

3.1.8 Insurance Council of Australia Recognised Testing:

CMI may accept testing conducted by laboratories recognised by the Insurance Council of Australia as being Accredited for the purpose of conducting specific testing, namely surrounding the identification of combustible fibres within specific products. It should be noted that this testing is not a specific requirement of the NCC, but rather an extraordinary requirement to satisfy state and territory bodies.

3.1.9 Batch Testing

Ongoing product Batch Testing, where applicable, can be performed by an *Approved Batch Test Laboratory* accepted by CMI on a batch of products. When considering a Batch Test report, the scope and capability of the facility undertaking the testing is to be considered.

3.2 WaterMark Certification Scheme

3.2.1 Type Testing

The WaterMark Scheme Rules specifies that to achieve WaterMark certification, products shall be certified as fully complying with an applicable specification through Type Testing. Type Testing as required by the specific standard shall be certified by CMI as having been carried out in an *Accredited Test Laboratory*.

The *Accredited Test Laboratory* must have a scope of accreditation covering the testing requirements of the applicable specification.

3.2.2 Batch Testing

Ongoing product Batch Testing, where applicable, can be performed by an *Approved Batch Test Laboratory* accepted by CMI on a batch of products. When considering a Batch Test report, the scope and capability of the facility undertaking the testing is to be considered.

3.3 CMI ProdCert Scheme

3.3.1 Type Testing

Test reports for initial product certification shall be from an *Approved Type Test Laboratory* accepted by CMI. When considering a test report the scope and capability for the laboratory to undertake the testing identified in the report is to be considered.

3.3.2 Batch Testing

Ongoing product Batch Testing, where applicable, can be performed by an *Approved Batch Test Laboratory* accepted by CMI on a batch of products. When considering a Batch Test report, the scope and capability of the facility undertaking the testing is to be considered.

3.4 Testing Capabilities

The following guidance should be considered when considering Test reports.

Accredited Laboratories

- The Laboratory is accredited by NATA/ILAC/EC/Regulatory Accreditation Organisation.
- The specific test method/standard is listed in the Laboratories NATA/ILAC/EC/Regulatory Accreditation Scope.
- If the test method/standard is not in the Laboratories current Scope of accreditation, the Accredited Laboratory does have (or previously had) similar capabilities/test equipment to undertake the required testing.

Special Testing Facility, University, Regulatory Facilities

- The Laboratory/Facility has the necessary testing equipment/capability to undertake the required tests and the testing undertaken within the appropriate, applicable requirements of the specific tests undertaken.

4. TESTING OF REPRESENTATIVE PRODUCTS

4.1 The tested product shall be identical for which recognition is being sought. The test sample must also be identical to the manufactured product. A declaration when it is provided must be for the products that were tested and will be identical to those that will be manufactured.

4.2 If the test specimen is an assembly, the assembly shall be in the same configuration for testing as it is for manufacturing.

4.3 Identical products that are manufactured at multiple facilities utilising the same bill of materials, component/raw material suppliers and manufacturing processes may be considered as part of the correlated samples on which the initial qualifying tests were conducted. Where this information cannot be validated, the product from each different manufacturing facility must be tested.

5. ACCEPTANCE OF TEST REPORTS – ADDITIONAL REQUIREMENTS

5.1 Reports are to be submitted in their entirety and should include the following as relevant:

5.1.1 Preferably written in English; or

5.1.2 Any document in a language other than English supporting translated evidence will need to be provided confirming the content of the test report in English.

5.1.3 Retain their acceptance by the issuing body/report writer.

5.1.4 In the case of Reports from Engineers, Appropriately Qualified Persons, Certification Bodies, or 'another form of documentary evidence', the Report Writer shall maintain have current and up to date qualifications etc.

5.1.5 Where accredited testing has been completed, the report must be in strict accordance with the requirements of their accreditation, which should include the following:

5.1.5.1 Name, address, and contact details of the laboratory including the laboratory ILAC or NATA laboratory recognition number as well as the appropriate ILAC/NATA logos (where appropriate).

5.1.5.2 Unique identification number of the test report. Each page of the report should include the identifier to ensure that each page is part of the same test report.

5.1.5.3 The report should be paginated and the total number of pages indicated.

5.1.5.4 Date of testing and date of the report as applicable.

5.1.5.5 The test standard with date of issue, and an explanation of any deviation from the standard.

5.1.5.6 Signatures (dated) and titles (or equivalent identification) of persons authorizing the test report.

5.1.5.7 Description of the product tested, and the source of the test samples.

5.1.5.8 If assemblies are tested (structural assemblies, fire-rated assemblies, etc.), there shall be a description of the assemblies, preferably with illustrations. The report shall identify the parties constructing the assemblies and shall also address witnessing and/or verifying the construction.

5.1.5.9 Description of the test procedure, if necessary, for interpretation of the test results.

5.1.5.10 Any specifics required by the test standard or applicable acceptance criteria or evaluation guideline, such as ambient conditions, graphs, calculations, drawings, photographs, and interpretation of results, if required.

5.1.5.11 Location where the testing was conducted, if different from the address of the testing laboratory.

5.1.5.12 Failure mode, with a description of the failure.

5.1.5.13 Conclusions or summary statements, including, when applicable, a statement indicating whether the product passed or failed the test.

6. AGE OF REPORTS

6.1 Reports in the first instance should be dated within 5 years. Reports older than 5 years may also be considered as long as they are still representative of the product being certified. Where CMI accept or refuse this report, justification will be provided to the Applicant/Certificate Holder.

6.2 It is the responsibility of the Certificate Holder to ensure that all data is current and applicable to the requirements of the current NCC and/or Standard.

7. ONGOING BATCH TESTING

7.1 *Clients/Distributors/Manufacturers* may be required to have in place a method of determining the ongoing testing of products produced by batches. This testing may be limited to critical tests that need to be checked as part of the ongoing compliance of the product or as identified in a specific Standard.

7.2 This testing may be carried out at the *Clients/Distributors/Manufacturers* facility if they have the equipment and processes in place to undertake the required tests.

Where the manufacturing facility does not have the capability to undertake ongoing batch testing, then this testing may be outsourced to a test facility which is accredited or approved by CMI.