CMI ProdCert Scheme Rules

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CMI-PCSR v1.00

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

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1. SECTION 1 – GENERAL

1.1 OBJECTIVES

1.1.1. The CMI ProdCert Scheme has been developed to provide a third-party conformity assessment process based on the requirements of ISO/IEC 17065 & ISO/IEC 17067 Type 5 Scheme – Functions I, II, III, IV, V(a)(d), VI(c) and *CMI ProdCert Scheme Process CMI-PCSPD* which is cost-effective and accredited by JAS-ANZ (see current JAS-ANZ Accreditation Schedule at https://cmicert.com.au/downloads/documents/JAS-ANZ_Accreditation_Schedule to assist Manufacturers, Importers or Distributors to have their products independently evaluated against the requirements of specific Australian, New Zealand or other International standards (such as ISO).

1.1.2. The overall aim of a Manufacturer, Importer or Distributor certifying their product through this Product Certification Scheme is to give confidence to all interested parties such as consumers, companies, employers, employees, regulators, government, non-government organisations and members of the public that the product fulfills specified testing and performance requirements through an accredited third-party conformity assessment process as well as the specific standard they are accredited against.

1.1.3. This Product Certification Scheme also assists Manufacturers, Importers or Distributors who have product certification needs across the WaterMark or CodeMark Schemes to combine these activities at the same time with this Scheme, minimising the need to deal with multiple Certification Bodies, combining audits and reducing certification costs across multiple schemes.

1.1.4. Benefits of products being evaluated and certified under this Product Certification Scheme are:

1.1.4.1 Assists in reducing product manufacturing and compliance risks by auditing the product manufacturing and ongoing supply processes through an independent JAS-ANZ accredited Certification Body

1.1.4.2 Adds credibility to the compliance of the product against the requirements of a specific standard compared to a product which is not evaluated and certified by such a process.

1.1.4.3 Maintains effective controls of manufacturing and internal processes & procedures relating to the products being certified.

1.1.4.4 Assists with continual improvement of manufacturing and internal processes & procedures.

1.1.4.5 Providing a cost-effective evaluation and Product Certification process.

1.1.4.6 Minimising the chance of product failure due to non-compliance to a specific standard which may cause damage, injury or even death.

1.1.4.7 Reducing the chance of a product having to be recalled due to non-compliance to a specific standard or if a recall is required, potentially limiting the recall to a specific batch or batches.

1.1.4.8 Ensuring the product being manufactured, imported or sold is tested in accordance with the requirements of a specific standard and that the testing was completed by a laboratory with the capability to undertake the test and all required tests were carried out successfully against the standard.

1.1.4.9 Ensuring that the manufacturing processes, components and raw materials are controlled from initial certification as well as on an ongoing basis throughout the life of the certification for reproducibility against the products that were tested.

1.1.4.10 Ensuring that the products are correctly marked and supporting documentation meets the requirements of the specific standard evaluated against.

1.1.4.11 Provision of a process to advise CMI that a product certified by CMI may not meet the testing or performance requirements of a specific standard so that appropriate investigation and action can be taken by CMI.

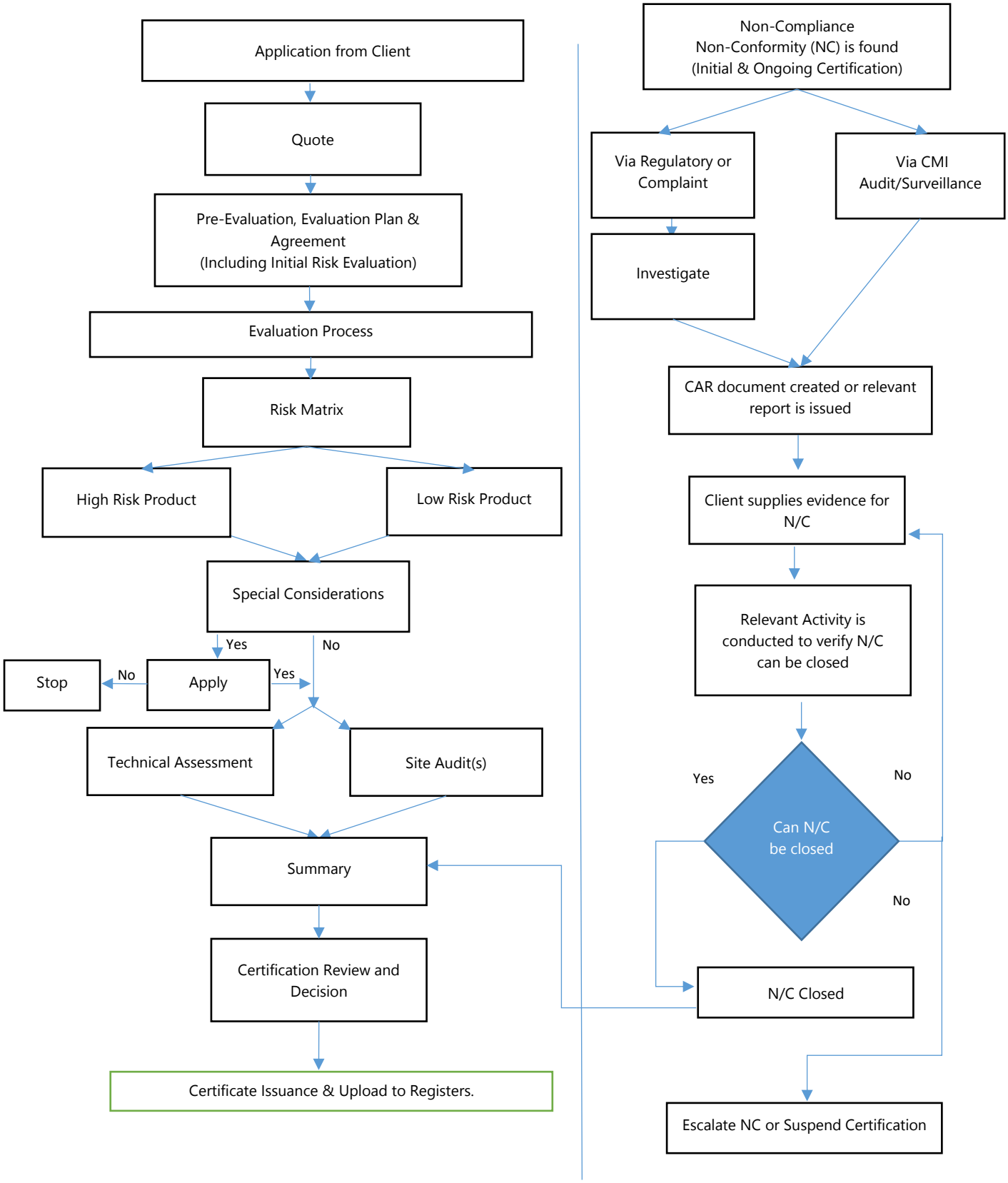
CMI will issue Certificates of Conformity under this Product Certification Scheme for Standards that have product specific criteria, CMI will issue a Certificate of Conformity which is marked with the CMI ProdCert Certification Mark.

CMI ProdCert

1.1.5. The products and specific standards certified by CMI under this Product Certification Scheme are publicly available for verification at https://register.cmicert.com.au/. The CMI symbol isa valuable asset in promoting confidence that a product has been through a rigorous certification process and combined with the unique CMI certification licence number allows for product certification traceability.

1.1.6. The products and specific standards which are listed on the JAS-ANZ Certification Register are publicly available for verification at https://register.jas-anz.org/certified-organisations. The JAS-ANZ symbol is a valuable asset in promoting confidence that a product has been through a rigorous certification process.

CMI Product Certification Scheme Overview – CMI ProdCert Scheme



1.2. ABBREVIATIONS

CMI	CMI Certification Pty Ltd (ABN 81 663 250 815)
CoC	Certificate of Conformity
JAS-ANZ	Joint Accreditation System of Australia and New Zealand
PQP	Product Quality Plan
NATA	National Association of Testing Authorities
ILAC	International Laboratory Accreditation Cooperation

1.3. DEFINITIONS & KEY TERMS

Words with special meanings are defined below for the purposes of this Scheme:

Accreditation means an attestation by JAS-ANZ that CMI is competent to carry out the specific conformity assessment tasks required by the CMI ProdCert Scheme.

Approved Type Test Laboratory means -

a. A Laboratory ISO/IEC 17025 accredited and its scope of testing activities recognised by the National Association of Testing Authorities (NATA) to undertake the relevant Type Tests; or
b. A Laboratory ISO/IEC 17025 accredited 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 ISO/IEC 17025 accredited but the specific test is not listed in the Laboratory Accreditation Scope and its scope of testing activities accepted by CMI Acceptance Criteria for *Evidence in Support of Certifications CMI-AC-ESC* to undertake the relevant Type Tests**;** or
d. A Special Facility such as a University/Specialised/Regulatory etc – with its specific scope of testing meeting as appropriate, applicable requirements of ISO/IEC 17025 related to the specific testing and accepted by CMI Acceptance Criteria for *Evidence in Support of Certifications CMI-AC-ESC* to undertake the relevant Type Tests.

Approved Batch Test Laboratory means -

a. A Laboratory ISO/IEC 17025 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 ISO/IEC 17025 accredited and its scope of testing activities recognised by ILAC Member or EC Directive Notified Bodies Laboratories to undertake the relevant Batch Tests; or
c. A Laboratory ISO/IEC 17025 accredited but the specific test is not listed in the Laboratory Accreditation Scope and its scope of testing activities accepted by CMI Acceptance Criteria for *Evidence in Support of Certifications CMI-AC-ESC* to undertake the relevant Batch Tests**;** or
d. A Special Facility such as a University/Specialised/Regulatory etc – with its scope of testing activities meeting as appropriate, applicable requirements of ISO/IEC 17025 related to the specific testing and accepted by CMI Acceptance Criteria for *Evidence in Support of Certifications CMI-AC-ESC* to undertake the relevant Batch Tests.
e. A Client/Distributor/Manufacturers test facility with its specific scope of testing meeting as appropriate, applicable requirements of ISO/IEC 17025 related to the specific Batch Tests and accepted by CMI Acceptance Criteria for *Evidence in Support of Certifications CMI-AC-ESC* to undertake ongoing batch control tests against specific standards.

Certificate of Conformity (CoC) means a document issued by CMI describing certified product(s) in accordance with the CMI ProdCert Scheme. The CoC is valid for up to 5 years unless there have been changes within that period to the relevant product. The CoC may be renewed by CMI for up to 5 year intervals providing Annual Surveillances are conducted. At renewal, if the applicable Standard/Specification had been updated since the CoC was originally issued, CMI will liaise with the Client regarding the need (if any) to update the CoC to the newer version.

CMI will issue Certificates of Conformity under this Product Certification Scheme for Standards that have product specific criteria, CMI will issue a Certificate of Conformity which is marked with the CMI ProdCert Certification Mark

Certified Product means a Product that bears the CMI Product Certification Mark of Conformity in accordance with Section 3 of these Rules.

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.

Certificate Register means a database maintained by CMI containing details of certified products including the CoC.

The Certification Body means CMI as the third-party conformity assessment body operating certification schemes.

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.

Evaluation means a combination of the selection and determination functions of conformity assessment activities**.**

Impartiality means presence of objectivity.

JAS-ANZ means the accreditation body responsible for certifying and accrediting CMI to undertake certification under this scheme.

License Number means the certification number provided to the Client. A Licence Number is valid for up to 5 years and remains valid subject to Annual Surveillances being conducted by CMI, unless the licence is relinquished, cancelled or suspended. The Licence Number may be renewed by CMI for up to 5 year intervals providing Annual Surveillances are conducted.

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

Quality management system means a system to direct and control an organisation with regard to quality.

Product Quality Plan (PQP) means documentation addressing the requirements for a Quality Plan (refer Appendix 1) setting out the specific quality practices, resources and sequence of activities relevant to a particular product and its manufacture. NOTE: The Quality Plan may stand alone, for example in a small company making a simple product. In larger companies the PQP may be incorporated within the company's ISO 9001 Quality Management system. For further information on Product Quality Plans refer to ISO 10005 or ISO 9001.

Re-evaluation testing means testing carried out in conjunction with the renewal of the certification if required.

Test report means a document issued by a testing laboratory or manufacturer that includes a documented record of the obtained test results for evaluation and acceptance by CMI.

1.4. REFERENCED DOCUMENTS

ISO/IEC 17065 - Conformity assessment- Requirements for bodies certifying products, processes and services; Current version

ISO/IEC 17067 - Conformity assessment -- Fundamentals of product certification and guidelines for product certification schemes; Type 5 Scheme – Functions I, II, III, IV, V(a)(d), VI(c); Current version

ISO 9001 – Quality management systems – Requirements; Current version

ISO 10005 - Quality management – Guidelines for quality plans; Current version

CMI ProdCert Scheme Process - CMI-PCSPD

CMI Terms & Conditions - CMI-TC

CMI Quality Manual - CMI-QM

CMI Evidence in Support of Certifications – CMI-ESC

Note: Standards/documents referenced are the most current version

1.5. LEGAL RESPONSIBILITY - (ISO/IEC 17065 CLAUSE 4.1)

1.5.1. CMI Certification Pty Ltd (ABN 81 663 250 815) is the legal entity which can be held legally responsible for all its certification activities provided through this CMI ProdCert Scheme.

1.6. CERTIFICATION AGREEMENT & RESPONSIBILITIES - (ISO/IEC 17065 CLAUSE 4.1) -

1.6.1. Certification Agreement

1.6.1.1. CMI has a legally enforceable agreement *(CMI ProdCert Scheme Pre-Evaluation, Plan & Agreement - CMI-PCPEPA)* for the provision of certification activities for its Clients. This agreement takes into account the responsibilities of CMI and its Clients.

1.6.2. Client Responsibilities:

1.6.2.1. The Client shall:

i. Comply with the requirements of this CMI ProdCert Scheme.
ii. Prepare and maintain a Product Quality Plan (PQP) or an ISO 9001 System which covers the requirements of a PQP.
iii. Product Specifications are required to be supplied and it is the responsibility of the Certificate Holder to obtain all the required Product Specification information that CMI requires to assist in the certification determination process.
iv. Product Specifications supplied must relate to the products that were tested or evaluated for the purpose of certification.
v. This information is to also to include:
   - Details of the manufacturer of any critical components that have a direct impact on the performance of the product.
   - Details of any other product registrations they intend to/have obtained for the product.
vi. Clients are solely responsible for ensuring a product certified by CMI meets, and continues to meet, the requirements on which the certification is based in accordance with the requirements of this scheme as advised by CMI.
vii. Compliance with the conditions of use of the CMI ProdCert Scheme and requirements for an annual product conformity and manufacturing declaration to be supplied to CMI.
viii. Ensure all fees are paid as directed by CMI within the required time frames.
ix. The *Client* shall have and be able to demonstrate effective control over the manufacture, testing, packaging, branding, delivery, installation/commissioning instructions and Scope of Use of the product.
x. Supply annually an updated declaration confirming that the Product Specifications and manufacturers (including any Critical Component Suppliers) of the certified product have not or have changed since the last declaration
xi. Ensure a Certified Product is:
   a. manufactured in accordance with the Product Quality Plan (PQP) or an ISO 9001 System which covers the requirements of a PQP and any conditions associated with the Certificate of Conformity; and

b. materially unchanged as per the sample that was tested and evaluated by CMI prior to certification.

xii. Comply with the Terms and Conditions set by CMI, which will be available to Clients.

xiii. Notify CMI, in writing, in relation to the Client's CMI Certified Product of any:
   a. intended change, modification or alteration to the Certified Product, its method of manufacture, Product Quality Plan or installation instructions; and
   b. reason to suspect the Certified Product may not comply with the relevant standard; and
   c. intended change to the name, address or contact details of the place of the Certified Product's manufacture or Clients details.

xiv. where a Certified Product is found not to be compliant with the relevant standard or claims stated on the Certificate of Conformity, then the Certificate Holder must:
   a. Cease production of the certified product; and
   b. notify CMI of the non-compliance; and
   c. report to CMI of the proposed Corrective Action Plan.

xv. All rules and governance of these Scheme Rules and CMI are to be abided by at all times.

xvi. The Client has the right to lodge a complaint and/or appeal via https://cmicert.com.au/form-complaint/ with CMI during any stage of the certification activities.

1.6.3. CMI Responsibilities

i. CMI as the legal entity will be certified as a third-party Product Certification body by JAS-ANZ *(JAS-ANZ Applications for Scope Extensions & Reductions - CMI-ASER)*.

ii. CMI will be impartial of the certification activities conducted. Furthermore, commercial, financial or other means will not comprise CMI's impartiality.

iii. All information supplied to CMI by the Client is deemed to be confidential, unless the information is publicly available.

iv. If CMI is required by law to release confidential information, the Client will be notified, unless prohibited by law.

v. CMI is responsible for all decisions pertaining to certification (e.g. granting, maintaining, re-certifications, suspensions, withdrawals etc.).

vi. All personnel employed or contracted by CMI will be competent to undertake the work they are involved in. CMI may also train their personnel and contractors to achieve the required competency.

vii. CMI is responsible to verify the Client's continual conformity under this Scheme and CMI's Terms and Conditions.

viii. CMI may investigate the actions of the Client where appropriate. This includes monitoring publications and websites regarding conformance under these CMI ProdCert Scheme Rules, Terms and Conditions are being met.

ix. Comply with these CMI ProdCert Scheme Rules;

x. Comply with all applicable laws and regulations;

xi. Undertake activities in an honest, fair and transparent manner;

xii. Maintain accurate and complete records;

xiii. Disclose, manage and prevent, wherever possible, any conflicts of interest;

xiv. Maintain confidentiality of Client information from unauthorised disclosure; and

xv. Respond promptly and courteously to all proper requests for information and to all complaints.

1.7. USE OF LICENSE, CERTIFICATES AND MARKS OF CONFORMITY - (ISO/IEC 17065 CLAUSE 4.1)

1.7.1. CMI will exercise the control as specified by this Scheme over ownership, use and display of licenses, certificates, marks of conformity, and any other mechanisms for indicating a product is certified *(CMI Terms & Conditions - CMI-TC)*.

1.7.2. Incorrect references to the CMI ProdCert Scheme, or misleading use of licenses, certificates, marks, or any other mechanism for indicating a product is certified, found in documentation or other publicity, will be dealt with by suitable action including the issuance of corrective actions, withdrawal of certificate, publication of the transgression and, if necessary, legal action.

1.7.3. CMI identifies risks to its impartiality *(Risk Management & Impartiality Register - CMI-RMIR)* on an ongoing basis. This will include those risks that arise from its activities, from its relationships, or from the relationships of its personnel. However, such relationships may not necessarily present CMI with a risk to impartiality.

1.7.4. A relationship presenting a risk to impartiality of CMI can be based on ownership, governance, management, personnel, shared resources, finances, contracts, marketing (including branding), and payment of a sales commission or other inducement for the referral of new Clients, etc.

1.8. MANAGEMENT OF IMPARTIALITY - (ISO/IEC 17065 CLAUSE 4.2)

1.8.1. Certification activities will be undertaken impartially.

1.8.2. CMI is responsible for the impartiality of its certification activities and shall not allow commercial, financial or other pressures to compromise impartiality.

1.8.3. CMI identifies risks to its impartiality *(Risk Management & Impartiality Register - CMI-RMIR)* on an ongoing basis.

1.8.4. CMI has a process for the management of personnel in accordance with Section 5.2 of ISO/IEC 17065.

1.8.5. All CMI personnel (either internal or external) or committees who could influence the certification activities will act impartially.

1.8.6. CMI top management are commitment to impartiality and this is reviewed annually *(Annual Impartiality Risk and Compliance Committee Meeting Minutes - CMI-AIRCCMM).*

1.8.7. CMI confirms that it shall not:

a) be the designer, manufacturer, installer, distributer or maintainer of the certified product;

b) be the designer, implementer, operator or maintainer of the certified process;

c) be the designer, implementer, provider or maintainer of the certified service;

d) offer or provide consultancy to its clients;

e) offer or provide management system consultancy or internal auditing to its clients where the certification scheme requires the evaluation of the client's management system.

1.8.8. CMI confirms that activities of separate legal entities, with which CMI forms a part of do not compromise the impartiality of its certification activities.

1.8.9. CMI's activities are not marketed or offered as linked with the activities of an organization that provides consultancy. CMI does not state or imply that certification would be simpler, easier, faster or less expensive if a specified consultancy organization were used.

1.8.10. Within a 2 year period, personnel shall not be used to review or make a certification decision for a product for which they have provided consultancy.

1.9. LIABILITY AND FINANCING - (ISO/IEC 17065 CLAUSE 4.3)

1.9.1. CMI has adequate arrangements by way of insurance coverage and reserves to cover liabilities arising from its operations. CMI holds current Professional Indemnity, Public Liability and Management Liability Insurance policies covering the work it undertakes.

1.9.2. CMI has financial stability and sufficient resources *(CMI Organisational Chart)* required for its operations.

1.10. NON-DISCRIMINATORY CONDITIONS - (ISO/IEC 17065 CLAUSE 4.4)

1.10.1. The policies and procedures under which CMI operates, and the administration of them, are non-discriminatory. Procedures will not be used to impede or inhibit access by applicants, other than as provided for in ISO/IEC 17065 and ISO/IEC 17067.

1.10.2. CMI makes its services accessible as much as possible to all applicants whose activities fall within the scope of its operations.

1.10.3. Access to the certification process will not be conditional upon the size of the Client or membership of any association or group, nor will certification be conditional upon the number of certifications already issued. There will not be undue financial or other conditions imposed by CMI.

1.10.4. CMI can decline to accept an application or maintain a contract for certification from a Client when fundamental or demonstrated reasons exist, such as the Client participating in illegal activities, having a history of repeated non-compliances with certification/product requirements, or similar Client-related issues.

1.10.5. CMI confines its requirements, evaluation, review, decision and surveillance to those matters specifically related to the scope of certification being provided to the Client.

1.11. CONFIDENTIALITY - (ISO/IEC 17065 CLAUSE 4.5)

1.11.1. CMI is responsible, through legally enforceable commitments, for the management of all information obtained or created during the performance of certification activities. Except for information that the Client makes publicly available, or when agreed between CMI and the Client (e.g. for the purpose of responding to complaints), all other information is considered proprietary information and will be regarded as confidential. CMI will inform the Client, in advance, of the information it intends to place in the public domain.

1.11.2. When CMI is required by law or authorized by contractual arrangements to release confidential information, the Client or person concerned will, unless prohibited by law, be notified of the information provided.

1.11.3. Information about the Client obtained from sources other than the Client (e.g. from the complainant or from regulators) will be treated as confidential.

1.12. PUBLICLY AVAILABLE INFORMATION - (ISO/IEC 17065 CLAUSE 4.6)

1.12.1. CMI maintains (through publications *(CMI Terms & Conditions - CMI-TC),* electronic media or other means), and make available upon request, the following:

i. information about the CMI ProdCert Scheme, including evaluation procedures, rules and procedures for granting, for maintaining, for extending or reducing the scope of, for suspending, for withdrawing or for refusing certification *(CMI ProdCert Scheme Rules - CMI-PCSR)*;

ii. a description and general information on the fees charged to applicants and to Clients *(CMI ProdCert Scheme Quotation - CMI-PCQ)*;

iii. a description of the rights and duties of applicants and Clients, including requirements, restrictions or limitations on the use of CMI's name and certification mark *(Mark of Conformity & Style Guide - CMI-MCSG)* and on the ways of referring to the certification granted;
iv. information about procedures for handling complaints and appeals.

2. STRUCTURAL REQUIREMENTS - (ISO/IEC 17065 CLAUSE 5)

2.1. ORGANIZATIONAL STRUCTURE AND TOP MANAGEMENT - (ISO/IEC 17065 CLAUSE 5.1)

2.1.1. Certification activities are structured and managed so as to safeguard impartiality.

2.1.2. CMI will document its organizational structure *(CMI Organisational Chart)*, showing duties, responsibilities and authorities of management and other certification personnel and any committees. When CMI is a defined part of a legal entity, the structure will include the line of authority and the relationship to other parts within the same legal entity.

2.1.3. The management of CMI has identified the group of persons having overall authority and responsibility for each of the following:

i. development of policies relating to the operation of CMI;
ii. supervision of the implementation of the policies and procedures;
iii. supervision of the finances of CMI;
iv. development of certification activities;
v. development of certification requirements;
vi. evaluation;
vii. review;
viii. decisions on certification;
ix. delegation of authority to committees or personnel, as required, to undertake defined activities on its behalf;
x. contractual arrangements;
xi. provision of adequate resources for certification activities;
xii. responsiveness to complaints and appeals;
xiii. personnel competence requirements;
xiv. management system of CMI.

2.1.4. CMI has formal rules for the appointment, terms of reference and operation of any committees that are involved in the certification process. Such committees will be free from any commercial, financial and other pressures that might influence decisions. CMI will retain authority to appoint and withdraw members of such committees.

2.2. MECHANISM FOR SAFEGUARDING IMPARTIALITY - (ISO/IEC 17065 CLAUSE 5.2)

2.2.1. CMI has a mechanism through its Risk & Impartiality Committee for safeguarding its impartiality which provide input on the following:

a) the policies and principles relating to the impartiality of its certification activities;

b) any tendency on the part of CMI to allow commercial or other considerations to prevent the consistent impartial provision of certification activities;

c) matters affecting impartiality and confidence in certification, including openness.

2.2.2. The Risk & Impartiality Committee Meetings are formally documented to ensure the following:

a) a balanced representation of significantly interested parties, such that no single interest predominates (internal or external personnel of CMI are considered to be a single interest, and shall not predominate);

b) access to all the information necessary to enable it to fulfil all its functions.

2.2.3. If the top management of CMI does not follow the input of the Risk & Impartiality Committee, the Risk & Impartiality Committee shall have the right to take independent action (e.g. informing authorities, accreditation bodies, stakeholders). In taking appropriate action, the confidentiality requirements relating to the client and certification body shall be respected.

2.2.4. Although every interest cannot be represented on the in the Risk & Impartiality Committee, CMI shall identify and invite significantly interested parties as required.

3. RESOURCE REQUIREMENTS - (ISO/IEC 17065 CLAUSE 6)

3.1. CERTIFICATION BODY PERSONNEL - (ISO/IEC 17065 CLAUSE 6.1)

3.1.1. General

3.1.1.1. CMI employs, or have access to, a sufficient number of personnel to cover its operations related to the certification schemes and to the applicable standards and other normative documents.

3.1.1.2. CMI personnel include those normally working for CMI, as well as persons working under an individual contract or a formal agreement that places them within the management control and systems/procedures of CMI (see 3.1.3).

3.1.1.3. CMI personnel are competent for the functions they perform, including making required technical judgments, defining policies and implementing them *(CMI Competency Matrix CMI-RRCM)*.

3.1.1.4. CMI personnel, including any committee members, personnel of external bodies, or personnel acting on CMI's behalf, will keep confidential all information obtained or created during the performance of the certification activities, except as required by law or by the certification scheme *(Confidentiality, Impartiality, Conflict of Interest Statement - CMI-CICIS)*.

3.1.2. Management of competence for personnel involved in the certification process

3.1.2.1. CMI has established, implemented and maintains a procedure for management of competencies of personnel involved in the certification process *(Resource Competency and Training CMI-QP02, Staff Training Records – CMI-STR & CMI Competency Matrix CMI-RRCM).* The procedure will require CMI to:

i. determine the criteria for the competence of personnel for each function in the certification process;
ii. identify training needs and provide, as necessary, training programmes on certification processes, requirements, methodologies, activities and other relevant certification scheme requirements;
iii. demonstrate that the personnel have the required competencies for the duties and responsibilities they undertake;
iv. formally authorize personnel for functions in the certification process;
v. monitor the performance of the personnel.

3.1.2.2. CMI maintains the following records on the personnel involved in the certification process as relevant:

I. name and address;
II. employer(s) and position held;
III. educational qualification and professional status;
IV. experience and training;
V. the assessment of competence;
VI. performance monitoring;
VII. authorizations held within CMI;
VIII. date of most recent updating of each record.

3.1.3. Contract with the personnel

3.1.3.1. CMI require personnel involved in the certification process to sign a contract or other documents (*Confidentiality, Impartiality, Conflict of Interest Statement - CMI-CICIS; Anti-Bribery & Corruption Policy Declaration - CMI-ABCPD; Consultancy Agreement - CMI-CA; Fit & Proper Person Assessment - CMI-FPPA)* by which they commit themselves to the following:

i. to comply with the rules defined by CMI, including those relating to confidentiality and independence from commercial and other interests;
ii. to declare any prior and/or present association on their own part, or on the part of their employer.
iii. to reveal any situation known to them that may present them or CMI with a conflict of interest

3.1.3.2. CMI uses this information as input into identifying risks to impartiality raised by the activities of such personnel, or by the organizations that employ them.

3.2. RESOURCES FOR EVALUATION - (ISO/IEC 17065 CLAUSE 6.2)

3.2.1. **Internal resources** - When CMI performs evaluation activities, either with its internal resources or with other resources under its direct control, it will meet the applicable requirements of the relevant standards and, as specified by this scheme and those processes and procedures associated with this scheme. The impartiality requirements of the evaluation personnel stipulated in the relevant standard will always be applicable. See (*CMI Competency Matrix CMI-RRCM & Staff Training Records – CMI-STR).*

3.2.2. **External resources (outsourcing)** - CMI outsources evaluation activities only to bodies that meet the applicable requirements of the relevant standards and those processes and procedures associated with this scheme. The impartiality requirements of the evaluation personnel stipulated in the relevant standard will always be applicable. See (*CMI Competency Matrix CMI-RRCM & Staff Training Records – CMI-STR).*

3.2.3. Where evaluation activities are outsourced to non-independent bodies (e.g. Client/Distributor/Manufacturer Laboratory), CMI ensures that the evaluation activities are managed to the appropriate applicable requirements of the specific testing being undertaken to provide confidence in the results, and that there are test records available to justify the confidence and in accordance with (*CMI Acceptance Criteria for Evidence in Support of Certifications CMI-AC-ESC).*

3.2.4. CMI will have a legally binding contract with the body (*Consultancy Agreement - CMI-CA)* that provides the outsourced service, including provisions for confidentiality and conflict of interest as specified in 3.1.3.1, item iii) *(Confidentiality, Impartiality, Conflict of Interest Statement - CMI-CICIS)*.

3.2.5. CMI:

i. takes responsibility for all activities outsourced to another body;
ii. ensures that the body that provides outsourced services, and the personnel that it uses, are not involved, either directly or through any other employer, in such a way that the credibility of the results could be compromised;
iii. has documented policies, procedures and records for the qualification, assessing and monitoring of all bodies that provide outsourced services used for certification activities;

iv. maintains a list of approved providers of outsourced services;
v. implements corrective actions for any breaches of the contract or other requirements in 3.2.2, 3.2.4 of which it becomes aware;
vi. informs the Client in advance of outsourcing activities, in order to provide the Client with an opportunity to object.

4. SECTION 4 – CERTIFICATION AND LICENCE ISSUE, SURVEILLANCE AND RE-CERTIFICATION - (ISO/IEC 17065 CLAUSE 7)

4.1. GENERAL - (ISO/IEC 17065 CLAUSE 7.1)

4.1.1. The requirements against which the products of a Client are evaluated will be those contained in specified standards and other normative documents relating to this CMI ProdCert Scheme.

4.2. APPLICATION - (ISO/IEC 17065 CLAUSE 7.2)

4.2.1. For application, CMI obtains all the necessary information via our on line portal https://cmicert.com.au/form-application/ to complete the certification process in accordance with the relevant certification scheme.

4.2.2. Organisations seeking Product Certification for their product can apply to CMI to certify their product through this CMI ProdCert Scheme.

4.2.3. A request to transfer a Licence from one Client to another entity will require a new application form to be completed, however the remaining certification processes are not required with the exception of reviewing the revised technical documentation to reflect the new Client's details and updating the CoC.

Providing the following documents can be provided as follows:

i. Current valid Product Certification Certificate of Conformity which is issued by a current ISO/IEC 17065 Accredited Certification Body.
ii. Audit Report issued within the last 12 months by the ISO/IEC 17065 Accredited Certification Body who issued the current valid Product Certification Certificate of Conformity which is being transferred to CMI. This shall also include any supportive evidence of any Non-Conformity closures.
iii. Supporting technical documentation.

Then the supplied Certificate of Conformity detailing the products listed on that Certificate of Conformity provide sufficient validation to allow for product to be recertified under a new CMI issued Certificate of Conformity.

4.2.4. A request to transfer from another Certifying Body is managed in accordance with *(CMI ProdCert Scheme Licence Transfer Policy & Procedure CMI-PCSLT)*.

4.3. APPLICATION REVIEW - (ISO/IEC 17065 CLAUSE 7.3)

4.3.1. CMI conducts a review of the Application (CMI ProdCert Pre-Evaluation, Plan & Agreement CMI-PCPEPA) to ensure that:

i. the information about the Client and the product is sufficient for the conduct of the certification process;
ii. the scope of certification sought is defined;
iii. the means are available to perform all evaluation activities;
iv. the risk of the product being certified;
v. CMI has the competence and capability to perform the certification activity.

4.3.2. Assessment of supporting data to verify risk of the product being certified.

i. Risk assessment of product being certified against the product complexity, specification(s)/standards(s), country of origin and if applicable, any know regulatory bodies risk advice specific to the product including product recalls or alerts.
ii. Regulatory Product Recalls & Alerts are emailed automatically to alert@cmicert.com.au
iii. Further information on product bans, recalls and alerts can be obtained from the following sites below:

All Products

- https://www.productsafety.gov.au/recalls
- https://www.productsafety.govt.nz/recalls/

Building Products

- https://www.abcb.gov.au/ncbp
- https://www.vba.vic.gov.au/building/building-regulations-advisory-committee/product-accreditation-register
- http://www.qbcc.qld.gov.au/worksite-building-practice/non-conforming-building-products
- https://www.fairtrading.nsw.gov.au/trades-and-businesses/construction-and-trade-essentials/building-products/non-conforming-building-products
- https://nt.gov.au/property/building/health-and-safety/non-conforming-building-products
- https://cbos.tas.gov.au/topics/technical-regulation/building-standards/building-practitioners/non-conforming-building-products
- https://www.commerce.wa.gov.au/building-and-energy/non-conforming-building-products-1

- https://www.planning.act.gov.au/build-buy-renovate/for-industry/industry-resources/correct-use-of-building-products-and-appliances
- https://www.industry.gov.au/sites/default/files/July%202018/document/pdf/building_ministers_forum_expert_assessment_-_building_confidence.pdf

Cladding

- https://www.vba.vic.gov.au/cladding/what-is-combustible-cladding
- https://www.hpw.qld.gov.au/__data/assets/pdf_file/0030/9867/QDCUseOfExternalCladding.pdf
- https://www.fairtrading.nsw.gov.au/trades-and-businesses/construction-and-trade-essentials/building-products/aluminium-composite-panel-ban

Respirators/Medical

- https://www.tga.gov.au/resources/alert
- https://www.tga.gov.au/resources/facemask-cancellations
- https://medsafe.govt.nz/hot/Recalls/RecallSearch.asp

Note: 4.5.5.2iii is a dynamic listing and will be updated as required.

iv. When undertaking a Technical Assessment of a product any bans, recalls and alerts which may be applicable to the product being reviewed is to be considered and documented within the Technical Assessment.

4.3.3. CMI declines to undertake a specific certification if it lacks any competence or capability for the certification activities it is required to undertake.

4.3.4. If CMI relies on certifications it has already granted to the Client, or has already granted to other Clients, to omit any activities, then CMI will reference the existing certification(s) in its records. If requested by the Client, CMI will provide justification for omission of activities.

4.4. EVALUATION PLAN - (ISO/IEC 17065 CLAUSE 7.4)

4.4.1. CMI has a plan *(CMI ProdCert Pre-Evaluation, Plan & Agreement CMI-PCPEPA)* for the evaluation activities to allow for the necessary arrangements to be managed.

4.4.2. Depending on the product requirements, the plan can be either a generic plan applicable to all activities, including evaluation of the quality management system, when applicable, or a specific one for a particular activity, or a combination of both.

4.5. EVALUATION ACTIVITIES - (ISO/IEC 17065 CLAUSE 7.4)

4.5.1. CMI assigns personnel who have been approved to perform each evaluation task that it undertakes with its resources. See *(CMI Competency Matrix CMI-RRCM & Staff Training Records – CMI-STR).*

4.5.2. CMI ensures all necessary information and/or documentation is made available for performing the evaluation tasks.

4.5.3. CMI only relies on evaluation results related to certification completed prior to the application for certification, where it takes responsibility for the results and satisfies itself that the body that performed the evaluation fulfils the requirements contained in 3.2.2.

4.5.4. The results of all evaluation activities are documented *(CMI ProdCert Scheme Technical Assessment - CMI-PCSTA & CMI ProdCert Scheme Manufacturing Site Audit - CMI-PCSMSA)* prior to review in a Certification Summary. See 4.6 Summary.

4.5.5. The Evaluation Activities include as a minimum 4.5.5.1 and 4.5.5.2. At the discretion of CMI, 4.5.5.3 and/or 4.5.5.4 may also be required:

4.5.5.1. on-site assessment of manufacturing quality management system and production process (*CMI ProdCert Scheme Manufacturing Site Audit - CMI-PCSMSA)* (i.e. factory/factories have and follow a manufacturing Product Quality Plan and applicable specification) at each location; initially this may be an on-site assessment of capability, then once certification has been issued, ongoing annual site inspections will take place; and

4.5.5.2. Technical Assessment *(CMI ProdCert Scheme Technical Assessment - CMI-PCSTA)* of supporting data to verify compliance with the requirements of the Product Technical Specification(s)/Standards(s), this document and associated processes and procedurers.

4.5.5.3. If required, a Scheme of Testing (*Scheme of Testing & Inspection Agreement (STIA*)) Type Test plan and/or Batch Testing regime covering the product(s) submitted for certification may be developed as follows:

i. the scope of testing will not be less than that defined in the applicable standard/specification for Type Test and Batch Test release testing, or where not specified, if required, a scope developed by CMI;
ii. the scope of testing will include all testing requirements applicable to the range of products or families of products;
iii. in the case of a family of products linked by common characteristics, the test plan should identify the worst-case scenario for a specific test in order to qualify the whole family;

iv. Type Test reports should be issued by an Approved Type Test Laboratory accepted by CMI with a similar scope of testing capabilities/expertise as that supplied in the test report.
v. Batch Test reports should be issued by an Approved Batch Test Laboratory accepted by CMI with a similar scope of testing capabilities/expertise as that supplied in the test report.
vi. a manufacturer's capability for batch release testing is verified where required by CMI as part of the initial and ongoing factory audits. This can be by witnessing the batch release testing process and/or reviewing batch test reports.

4.5.5.4. Product inspection of product samples from, or intended for, the Australian market may also be requested:

i. samples for product inspection may be selected by CMI from factory, warehouse or from the market;
ii. samples selected will be representative of the range of products / families of products included on the Certificate of Conformity;
iii. the scope of inspection, if required, will be as defined in the applicable specification for product inspection or, where not specified and where required, a scope developed by CMI;
iv. dis-assembling the product if required;

4.6. CERTIFICATION SUMMARY - (ISO/IEC 17065 CLAUSE 7.4)

4.6.1. An examination of the Certification Activities completed is conducted to determine whether the specified requirements have been met. Non-Conformities are reviewed when completing the Certification Summary *(CMI ProdCert Scheme Certification Summary - CMI-PCS).*

4.7. REVIEW - (ISO/IEC 17065 CLAUSE 7.5)

4.7.1. CMI assigns at least one person to review all information and results related to the evaluation *(CMI ProdCert Scheme Review & Decision - CMI-PCRD).* The review is carried out by person(s) who have not been involved in the evaluation process.

4.7.2. Recommendations for a certification decision based on the review is documented, unless the review and the certification decision are completed concurrently by the same person.

4.8. CERTIFICATION DECISION - (ISO/IEC 17065 CLAUSE 7.6)

4.8.1. CMI is responsible for, and retains authority for, its decisions relating to certification.

4.8.2. CMI assigns at least one person to make the certification decision based on all information related to the evaluation, its review, and any other relevant information. The certification decision will be carried out by a person or group of persons that has not been involved in the process for evaluation *(CMI ProdCert Scheme Review & Decision - CMI-PCRD).*

4.8.3. CMI notifies the Client of a decision not to grant certification and will identify the reasons for the decision.

4.9. ISSUE OF THE CERTIFICATE OF CONFORMITY - (ISO/IEC 17065 CLAUSE 7.7)

4.9.1. The Client is responsible for the correct use of the License Number and Certificate *(Mark of Conformity & Style Guide - CMI-MCSG).* Any alleged misuse or misrepresentation of the License number shall be immediately reported to CMI.

4.9.2. CMI ensures that each Certificate of Conformity *(CMI ProdCert CofC)* contains sufficient information to enable a user to verify product identity on site. It will include the following:

a. product description including trade name(s), catalogue numbers, model identification, indication of the different brand names that may be used and details of all integral components with their respective licence numbers;
b. product purpose or use;
c. Client address
d. conditions, or limitations of certification;
e. reference to the applicable specification to which the product was evaluated;
f. reference to the existence of any schedule that forms part of the certificate or the basis for certification;
g. the CMI Product Certification logo;
h. Accreditation Body symbol where applicable;
i. contact details of CMI
j. name and signature of issuer;
k. CMI licence number;
l. initial certification date;
m. current certification date;
n. certification expiry date;
o. a statement that the certificate may only be reproduced in its entirety.

4.10. DIRECTORY OF CERTIFIED PRODUCTS - (ISO/IEC 17065 CLAUSE 7.8)

4.10.1. CMI maintains a register of all Certifications issued by CMI. This is publicly available at https://register.cmicert.com.au/.

4.11. USE OF THE MARK OF CONFORMITY - (ISO/IEC 17065 CLAUSE 4.1)

4.11.1. CMI ensures that a product and/or packaging that has been certified is appropriately marked. Where possible, the CMI Product Certification Mark of Conformity is to be applied to the product and/or packaging prior to despatch from the manufacturing site or on arrival at the manufacturer's agent or distributor's Australian warehouse *(Mark of Conformity & Style Guide - CMI-MCSG).*

4.11.2. Format

4.11.2.1. CMI supplies to the Client a Badge detailing the appropriate details for the CMI Product Certification Mark of Conformity, see example as shown in Figure A below.

CMI Product Certification Mark

Figure A – Example Format.

4.11.3. In exceptional cases where the product is too small to be marked, Clients may make application to CMI for an exemption to display the mark.

4.11.4. CMI Product Certification Mark of Conformity should be durable or incorporated in such a way as to reveal clear evidence of tampering.

4.11.5. When applied, the CMI Product Certification Mark of Conformity should be clearly visible and legible. In addition to the CMI Product Certification Mark of Conformity as well as any other marking called up by the applicable standard/specification must be included.

4.11.6. Products should have appropriate marking applied for traceability and other markings relevant to the performance of the product.

4.11.7. Markings to be placed on products and packaging should, include the following:

i. Client's name, brand or trademark;
ii. CMI Product Certification Mark of Conformity;
iii. CMI Product Certification Licence number issued for the product(s);
iv. Batch identification (as required by the applicable standard/specification);
v. Number of the applicable standard/specification, e.g. AS/NZS XXXX:XXXX or AS XXXX:XXXX including the year of the standard/specification; and
vi. Other markings relevant to the correct operation of the product, e.g. performance levels, use-by dates, direction of flow, and direction of opening/closing.

4.11.8. For Certifications issued under a JAS-ANZ accredited standard/specification, the Client may use the CMI Product Certification Licence Number and CMI Product Certification Mark of Conformity as well as the JAS-ANZ Logo for such approved standards/specifications in promotional material referencing participation in the CMI ProdCert Scheme and scope of accreditation. Where a Client wishes to use the JAS-ANZ Logo, this must be shown adjacent to the CMI Product Certification Mark of Conformity.

4.11.9. In all cases, Clients shall submit a marking proposal to CMI for approval showing the form and manner in which the CMI Product Certification Mark of Conformity and if appropriate the JAS-ANZ Logo will be used. The CMI Product Certification Mark of Conformity and if appropriate the JAS-ANZ Logo are verified by CMI during annual surveillances.

4.12. COMPLAINTS - (ISO/IEC 17065 CLAUSE 7.13)

4.12.1. CMI has a documented process to receive, evaluate and make decisions on complaints and appeals. CMI records and track complaints and appeals, as well as actions undertaken to resolve them *(CMI Investigations Register – Live; Appeals Register – Live & Complaints Register Ma-Re-01002).*

4.12.2. Upon receipt of a complaint or appeal via https://cmicert.com.au/form-complaint/ , CMI confirms whether the complaint or appeal relates to certification activities for which it is responsible and, if so, will address it.

4.12.3. CMI acknowledges receipt of a formal complaint or appeal.

4.12.4. CMI is responsible for gathering and verifying all necessary information (as far as possible) to progress the complaint or appeal to a decision.

4.12.5. The decision resolving the complaint or appeal will be made by, or reviewed and approved by, person(s) not involved in the certification activities related to the complaint or appeal.

4.12.6. To ensure that there is no conflict of interest, personnel (including those acting in a managerial capacity) who have provided consultancy for a Client, or been employed by a Client, are not used by CMI to review or approve the resolution of a complaint or appeal for that Client within two years following the end of the consultancy or employment.

4.12.7. Whenever possible, CMI gives formal notice of the outcome and the end of the complaint process to the complainant.

4.12.8. CMI gives formal notice of the outcome at the end of the appeal process to the appellant.

4.12.9. CMI takes any subsequent action needed to resolve the complaint or appeal.

4.13. RECORDS - (ISO/IEC 17065 CLAUSE 7.12)

4.13.1. CMI retains records to demonstrate that all certification process requirements have been effectively fulfilled.

4.13.2. CMI keeps records confidential. Records will be transported, transmitted and transferred in a way that ensures confidentiality is maintained.

4.13.3. If the standard/specification involves complete re-evaluation of the product(s) within a determined cycle, records are retained for at least 10 years *(CMI Quality Manual - CMI-QM).*

4.14. SURVEILLANCE - (ISO/IEC 17065 CLAUSE 7.9)

4.14.1. CMI conducts ongoing Annual Surveillance Audits *(CMI ProdCert Scheme Surveillance Report - CMI-PCSR)* in accordance with ISO/IEC 17065 & ISO/IEC 17067 Type 5 Scheme including:

a. request and/or review type testing as per the product specification and when one or more of the following occurs: a change in standard/specification, design, material, manufacturing process or location; and

b. annually, a review of:
- i. batch release test results;
- ii. any complaints;
- iii. any non-conformities;
- iv. consistency with applicable specifications; and
- v. certification currency of individually certified integral components;

c. ensuring that there is no change to design, material, manufacturing process or location, integral products with individual certification, etc. or to provide details where there is a change; and

d. if CMI has concerns arising from the annual review, those concerns will be investigated and resolved by CMI. This may require follow up activities including but not limited to factory inspection and re-testing.

4.14.2. CMI may at its discretion choose to conduct an inspection of product samples:

- i. samples for product inspection may be selected from the factory/factories, warehouse, from the market by a representative of CMI;
- ii. samples will be representative of the range of products *(CMI WaterMark or ProdCert Schemes Selection Sampling CMI-WMPCSS)*;
- iii. the scope of inspection is to be not less than that defined in the applicable standard/specification for product inspection or, where not specified, if required, a scope developed by CMI;
- iv. examination will include reviewing the product markings, claims associated with a product; installation instructions and the Scope of Use included with the product;
- v. characteristics/critical attributes of the product against specifications and drawings; individually certified integral components against Licence details; and any other aspects identified by CMI;
- vi. dis-assembling the product if required.

4.15. RE-CERTIFICATION - (ISO/IEC 17065 CLAUSE 7.9)

4.15.1. A Re certification audit for a Certified Product will be completed prior to the date of expiry of the Certificate of Conformity.

4.15.2. For the purpose of the re-certification, a full review is required inclusive of the requirements for the Annual Surveillance Audit as detailed in the above Section *(CMI ProdCert Scheme Surveillance Report - CMI-PCSR).*

4.15.3. At the discretion of CMI, Re-certification may also comprise of the following:

a. Product Testing
- i. samples for product testing may be selected by CMI from the factory/factories, warehouse or from the market *(CMI WaterMark or ProdCert Schemes Selection Sampling CMI-WMPCSS)*;
- ii. samples are to be representative of the range of products certified;
- iii. the scope of testing, if required, may be defined in the applicable standard/specification for re-evaluation testing or, where not specified, for batch release testing or, where not specified, a scope developed by CMI *(CMI Scheme of Testing and Inspection Agreement CMI-STIA)*; and

b. on-site assessment of manufacturing quality management system and production process at each location *(CMI ProdCert Scheme Manufacturing Site Audit - CMI-PCSMSA).*

5. SECTION 5 –RE-REGISTRATION/WITHDRAWALS/TERMINATIONS/CANCELLATIONS/SUSPENSIONS - (ISO/IEC 17065 CLAUSE 7.11)

5.1. RE-REGISTRATION

5.1.1. Where a License number has remained expired for in excess of 12 months and the Client wishes to re-establish the certification, this may be regarded as a new application, however the license number may be reused at the discretion of CMI.

5.2. VOLUNTARY WITHDRAWAL - (ISO/IEC 17065 CLAUSE 7.11)

5.2.1. A Client may voluntarily relinquish certification at any time.

5.2.2. A formal withdrawal request is to be provided to CMi via https://cmicert.com.au/form-withdraw-cancel-coc/ .

5.2.3. The request will be actioned no later than 7 days after receiving the written advice.

5.2.4. If certification is terminated (by request of the Client), CMI will obtain a Formal Request from the Client and will undertake all necessary actions to remove the Certifications from the Directory of Certified products. Formal confirmation will be provided to the Client confirming their requirements regarding public information, authorisations for use of marks, etc., in order to ensure it provides no indication that the product continues to be certified.

5.2.5. Once withdrawn the certificate will be available from CMI upon request. All withdrawn certificates will be marked as "Withdrawn".

5.2.6. CMI notifies, where relevant, the Scheme Administrator of the withdrawal

5.2.7. CMI may undertake a public disclosure of the withdrawal.

5.3. SUSPENSIONS - (ISO/IEC 17065 CLAUSE 7.11)

5.3.1. If a certification is suspended, CMI assigns one or more persons to formulate and communicate the following to the Client:

i. actions needed to end suspension and restore certification for the product(s) in accordance with the CMI ProdCert Scheme;
ii. any other actions required by the CMI ProdCert Scheme.

5.3.2. These persons are competent in their knowledge and understanding of all aspects of the handling of suspended certifications.

5.3.3. The Certificate will be temporarily removed from the Directory of Certified Products and the status clearly shows as Suspended.

5.3.4. CMI notifies, where relevant, the Scheme Administrator of the withdrawal

5.3.5. CMI may undertake a public disclosure.

5.4. RESOLVING SUSPENSIONS - (ISO/IEC 17065 CLAUSE 7.11)

5.4.1. Any evaluations, reviews or decisions needed to resolve the suspension, will be completed in accordance with the applicable parts of 4.5, 4.6, 4.7 & 4.8.

5.4.2. If certification is reinstated after suspension, CMI makes all necessary modifications to formal certification documents, public information, authorizations for use of marks, etc., as required.

5.4.3. The Certificate is made public within the Directory of Certified Products and the status clearly shows as Active.

5.4.4. CMI notifies, where relevant the Scheme Administrator, of the status change.

5.5. CANCELLATIONS - (ISO/IEC 17065 CLAUSE 7.11)

5.5.1. If certification is terminated, cancelled or withdrawn (at the direction of CMI), CMI undertakes all necessary actions to remove the Certifications from Registers. Formal confirmation is provided to the Client confirming their requirements regarding public information, authorisations for use of marks, etc., in order to ensure it provides no indication that the product continues to be certified.

5.5.2. CMI may cancel or withdraw a Certificate and Licence Number at any time:

a. for breach of the Rules, this Scheme, and procedures of the CMI ProdCert Scheme;
b. for failure to pay any fees, costs or charges payable;
c. if the Client becomes bankrupt, applies to take the benefit of any law for the relief of bankrupt or insolvent debtors or makes any arrangement or composition with its creditors or if a company enters into liquidation (whether compulsory or voluntary, but not including voluntary liquidation for the purpose of reconstruction) or has a receiver appointed to its business;
d. if a Client modifies a product, other than that permitted by CMI; or
e. if the Client fails to complete Surveillances or Re-Certifications within the required period after a change in the relevant applicable standard/specification.

5.5.3. Once cancelled the certificate will be available from CMI upon request. All withdrawn certificates will be marked as "Cancelled".

5.5.4. CMI notifies, where relevant, the Scheme Administrator of the withdrawal.

5.5.5. CMI may undertake a public disclosure.

6. SECTION 6 – CERTIFICATE CHANGES - (ISO/IEC 17065 CLAUSE 7.10)

6.1.1. Clients may request to make changes to their current Certificate via https://cmicert.com.au/form-change-of-certificate/ .

6.1.2. When the CMI ProdCert Scheme, standard or specification introduces new or revised requirements that affect the Client, CMI ensures these changes are communicated to all appropriate Clients.

6.1.3. CMI also considers other changes affecting certification, including changes initiated by the Client, and will decide upon the appropriate action in such cases.

6.1.4. The actions to implement changes affecting certification will include, if required, the activities stated in 4.5, 4.6, 4.7 & 4.8 of this document.

7. SECTION 7 – NON-CONFORMITY - (ISO/IEC 17065 CLAUSE 7.4 & 7.11)

7.1. NON-CONFORMITY - (ISO/IEC 17065 CLAUSE 7.4 & 7.11)

7.1.1. When a Non-Conformity with certification requirements is substantiated, either as a result of Surveillance or otherwise, CMI considers and decides upon the appropriate action *(Non-Conformities & Corrective Actions - CMI- NCCA*).

7.1.2. Appropriate action can include the following:

i. continuation of certification under conditions specified by CMI (e.g. increased Surveillance);
ii. reduction in the scope of certification to remove non-conforming product variants;
iii. suspension of the certification pending remedial action by the Client;
iv. withdrawal of the certification.

7.1.3. CMI informs the Client of all Non-Conformities raised.

7.1.4. If one or more Non-Conformities have arisen, and if the Client expresses interest in continuing the certification process, CMI provides information regarding the additional evaluation tasks needed to verify that Non-Conformities have been corrected.

7.1.5. Non-Conformity with any aspects of certification is dealt with formally and is the subject of a Corrective Action Request (CAR) *(CMI Corrective Action Request Initial Clients CMI-CARIC v1.00; CMI Corrective Action Request Ongoing Clients CMI-CAROC & CMI Corrective Action Request Accounts CMI-CARACC* or within the report if appropriate, typically within desktop assessments undertaken.

7.1.6. CMI notifies the Client, requiring the appropriate action to be taken from the following options:

7.1.6.1. **Critical Non-Conformity** – where the potential impact warrants immediate corrective action: A N/C is to be raised requiring immediate corrective action to be taken. Further products shall not be produced until the N/C is closed. Critical Non-Conformity will require verification of effective implementation of corrective action. If the N/C is not closed out by the agreed date, CMI suspends or withdraws the Certificate & License number.

7.1.6.2. **Major Non-Conformity** – where the potential impact is likely to compromise compliance if no remedial action is taken to correct the N/C: A N/C is to be raised and a response as to the proposal for rectification provided to CMI within 7 business days. A Major Non-Conformity will require verification of effective implementation of corrective action. If the N/C is not closed out by the agreed date, CMI will determine that the N/C is now a Critical Non-Conformity and take appropriate action.

7.1.6.3. **Minor Non-Conformity** – where the potential impact of the N/C is not likely to compromise compliance: A Minor Non-Conformity is to be raised and a suitable closeout date agreed with the Client. The close out date will reflect the potential impact of the N/C and its ease of rectification. Close out will be dependent on the N/C however this may also be at the next Surveillance evaluation.

7.1.7. If a Minor Non-Conformity is not closed out by the agreed date, CMI reviews the reasons for non-closure with the Client and depending on the nature of the N/C and its potential to affect compliance, takes one of the following actions:

a. determines that a Minor Non-Conformity still exists and extend the existing N/C with a new close out date agreed with the Client, reporting the action in the evaluation report; or
b. determines that the Minor Non-Conformity is now a Major Non-Conformity with a close out date as required for Major Non-Conformities.

7.2. NON-CONFORMITY & CLIENT'S RESPONSIBILITIES - (ISO/IEC 17065 CLAUSE 7.4 & 7.11)

7.2.1. The Client shall notify CMI immediately of any issue that affects CMI's certification decision. Where a breach of the conditions of the Certification has been substantiated, CMI may require the Client to undertake the following actions:

a. For products in stock or in production - removal of the CMI Product Certification License Number and CMI Product Certification Mark of Conformity or rework to ensure compliance with the conditions of certification.
b. For products already despatched - removal of the CMI Product Certification License Number and CMI Product Certification Mark of Conformity or recall of the product identified on the CoC in accordance with the current ACCC Product Recall Procedures and rework to ensure compliance with the conditions of certification.
c. A public disclosure.

7.3. CORRECTIVE ACTIONS

7.3.1. CMI has its own policy that deals with the Non-Conformity which includes the issuance of Corrective Actions *(Non-Conformities & Corrective Actions - CMI- NCCA).*

8. SECTION 8 – COMPLAINTS / APPEALS - (ISO/IEC 17065 CLAUSE 7.13)

8.1. COMPLAINTS / APPEALS - (ISO/IEC 17065 CLAUSE 7.13)

8.1.1. CMI has a documented process to receive, evaluate and make decisions on complaints and appeals. CMI records and track complaints and appeals, as well as actions undertaken to resolve them *(CMI Investigations Register – Live; Appeals Register – Live & Complaints Register Ma-Re-01002).*

8.1.2. Upon receipt of a complaint or appeal via https://cmicert.com.au/form-complaint/ , CMI confirms whether the complaint or appeal relates to certification activities for which it is responsible and, if so, will address it.

8.1.3. CMI acknowledges receipt of a formal complaint or appeal.

8.1.4. CMI is responsible for gathering and verifying all necessary information (as far as possible) to progress the complaint or appeal to a decision.

8.1.5. The decision resolving the complaint or appeal is made by, or reviewed and approved by, person(s) not involved in the certification activities related to the complaint or appeal.

8.1.6. To ensure that there is no conflict of interest, personnel (including those acting in a managerial capacity) who have provided consultancy for a Client, or been employed by a Client, are not be used by CMI to review or approve the resolution of a complaint or appeal for that Client within two years following the end of the consultancy or employment.

8.1.7. Whenever possible, CMI gives formal notice of the outcome and the end of the complaint process to the complainant.

8.1.8. CMI gives formal notice of the outcome and the end of the appeal process to the appellant.

8.1.9. CMI takes any subsequent action needed to resolve the complaint or appeal.

9. SECTION 9 – RECORDS - (ISO/IEC 17065 CLAUSE 7.12)

9.1. RECORDS - (ISO/IEC 17065 CLAUSE 7.12)

9.1.1. CMI retains records to demonstrate that all certification process requirements have been effectively fulfilled.

9.1.2. CMI keeps records confidential. Records will be transported, transmitted and transferred in a way that ensures confidentiality is maintained.

9.1.3. If the standard/specification involves complete re-evaluation of the product(s) within a determined cycle, records are retained for at least 10 years *(CMI Quality Manual - CMI-QM).*

10. SECTION 10 - MANAGEMENT SYSTEM REQUIREMENTS - (ISO/IEC 17065 CLAUSE 8 - OPTION A)

10.1. GENERAL - (ISO/IEC 17065 CLAUSE 8 – OPTION A)

10.1.1. CMI has established and maintains a management system that is capable of achieving the consistent fulfilment of the requirements of ISO/IEC 17065 Clause 8 Option A through the (*CMI ProdCert Scheme Rules, CMI ProdCert Scheme Process CMI-PCSPD, CMI Quality Manual - CMI-QM)* and the documents referenced.

10.1.2. The Management Team of CMI has established, documented, and maintained policies and objectives for fulfillment of this ISO/IEC 17065 standard and the certification schemes under its scope as stated in Section 3.1 CMI Profile, and ensures the policies and objectives are acknowledged and implemented at all levels of the organisation.

10.1.3. The Management Team provides evidence of their commitment to the development and implementation of the management system and its effectiveness in achieving consistent fulfillment of ISO/IEC 17065 standard with annual Management Review Meetings.

10.1.4. The Management Team may appoint staff who, irrespective of other responsibilities, has responsibility and authority that include:

a) Ensuring that processes and procedures needed for the management system are established, implemented, and maintained, and
b) Reporting on the performance of the management system and any need for improvement.

10.1.5. All documentation, processes, systems, records, etc. related to the fulfillment of the requirements of ISO/IEC 17065 standard are included, referenced, or linked to documentation of the management system. Reference of procedures is given in the Quality Manual (*CMI Quality Manual - CMI-QM)* and reference of the formats etc. to be used is given in the relevant procedures.

10.1.6. All personnel involved in certification activities have access to the parts of the management system documentation and related information that are applicable to their responsibilities.

10.2. CONTROL OF DOCUMENTS (OPTION A)

10.2.1. CMI has established a procedure which details how to control documents (internal and external) that relate to the fulfilment of ISO/IEC 17065 standard. Refer (*Document Control and Management CMI-QP01).*

10.3. CONTROL OF RECORDS (OPTION A)

10.3.1. CMI has established a Procedure for records management that defines the control needed for the identification, storage, protection, retrieval, retention time and disposition of its records related to the fulfilment of ISO/IEC 17065 standard.

10.3.2. CMI has also included in this procedure the way of retaining records for a period consistent with legal and contractual obligations. Access to records is consistent with confidentiality arrangements. Refer (*Document Control and Management CMI-QP01).*

10.4. MANAGEMENT REVIEW (OPTION A)

10.4.1. General

10.4.1.1. The Management Team through Management Review meetings review CMI's management system at planned intervals, for ensuring its continuing suitability, adequacy, and effectiveness, including the stated policies and objectives related to the fulfilment of ISO/IEC 17065 standard.

10.4.1.2. The reviews are conducted at least once per year. Records of management reviews are maintained.

10.4.2. Review Inputs

The input to the management review includes the following as minimum:

a) results of internal and external audits.
b) feedback from clients and interested parties (including scheme owners) related to the fulfilment of ISO/IEC 17065.
c) feedback from the mechanism for safeguarding impartiality.
d) the status of preventive and corrective actions.
e) follow-up actions from previous management reviews.
f) the fulfilment of objectives.
g) changes that could affect the management system.
h) appeals and complaints.

10.4.3. Review outputs

The outputs from the management review include decisions and actions related to the following:

a) improvement of the effectiveness of the management system and its processes.
b) improvement of CMI related to the fulfilment of ISO/IEC 17065.
c) resource needs.

10.5. INTERNAL AUDITS (OPTION A)

10.5.1. CMI conducts internal audits to verify that CMI fulfils the requirements of ISO/IEC 17065 standard and that the management system is effectively implemented and maintained.

10.5.2. An audit program is planned (covering all activities and all clauses of ISO/IEC 17065, taking into consideration the importance of the processes and areas to be audited, as well as the results of previous audits has been developed, refer (*Internal Audit Plan – IAP* & *Internal Audit Report – CMI-IAR).*

10.5.3. Internal audits are performed at least once per year.

10.6. CORRECTIVE ACTIONS (OPTION A)

10.6.1. CMI undertakes the identification and management of non-conformities in its operations. The National Compliance Director (NCD) and General Manager (GM) are responsible for:

- Taking necessary corrective or preventive action identified from any internal or external audit reports.
- Taking necessary corrective or preventive action on customer feedback / customer complaint / appeal.
- Review corrective or preventive action taken by concerned person for effectiveness and prepare information for discussion in management review meeting
- Recording of the non-conformance(s) are completed in Jarvis in the *CMI Head Office/CMI Complaints/Corrective Actions* at the request of, or by, the NCD or GM.
- Where the non-conformance is raised as a result of a complaint / appeal, refer Section 7.7.

10.6.2. Where necessary, CMI also takes actions to eliminate the causes of non-conformities to prevent recurrence.

10.6.3. Corrective actions are taken appropriate to the impact of the problems encountered.

10.6.4. The procedure for corrective action defines requirements for the following:

- Identifying non-conformities (e.g. from complaints and internal audits);
- Conducting a Root Cause Analysis of the non-conformity.
- Correcting Non-Conformities.
- Evaluating the need for actions to ensure that non-conformities do not recur.
- Determining the actions needed and implementing them in a timely manner.
- Recording the results of actions taken.
- Reviewing the effectiveness of corrective actions.
- The possible effect on other certifications.

10.7. PREVENTIVE ACTIONS (OPTION A)

10.7.1. CMI has established procedures for taking preventive actions to eliminate the causes of potential non-conformities.

10.7.2. Preventive actions are taken appropriate to the probable impact of the potential problems.

10.7.3. The procedure for preventive actions defines requirements for the following:

10.7.4. Identifying potential non-conformities and their causes.

- Evaluating the need for action to prevent the occurrence of non-conformities.
- Determining and implementing the action needed.
- Recording the results of actions taken.
- Reviewing the effectiveness of the preventive actions taken.

10.8. FEEDBACK

10.8.1. CMI seeks client feedback annually to ensure its continual improvement on its services. CMI issues a Feedback survey once per calendar year.

10.8.2. CMI also has a permanent feedback link on all our email signatures as follows: https://cmicert.com.au/form-client-feed-back/

10.8.3. Feedback will be logged, recorded and actioned as required *(CMI Feedback Register - CMI-FBR)*.

10.8.4. Should feedback be negative in nature, the reviewer will determine whether the feedback is to be logged as a complaint and actioned accordingly.

APPENDIX 1

A *Quality Plan should* include, **but is not limited to**, consideration and inclusion of the following:

1. Does the product have a Quality Plan for its manufacturing?
2. What are the Quality Plan inputs? For example, what are the requirements on resources, and what are the product specifications?
3. What are the quality objectives as set out in the Quality Plan? As a minimum, the quality objectives must ensure that certified products released in the marketplace are the same as those that are submitted for certification, meet the Certificate of Conformity requirements and are expressed in measurable terms.
4. What are the individual management responsibilities for the Quality Plan?
5. How are documents and data for the Quality Plan controlled, for example, identified, reviewed, approved, distributed and accessed?
6. How are records related to the Quality Plan controlled? For example, what records are established and maintained? How long records must be stored for? What records will be made available to product users?
7. How are resources provided to meet each requirement in the Quality Plan? In particular:

a. material resources;

b. human resources; and

c. facility resources.

8. What does the *Quality Plan* state are the requirements to be met for the *product*? All requirements must be stated in measurable terms.
9. Are the production provisions, related monitoring and measurement processes for the *product* set out in the *Quality Plan*?
10. Does the *Quality Plan* specify how non-conforming *products* will be controlled?
11. Does the *Quality Plan* have recall procedures complying with, or similar to, the 'ACCC Consumer Product Safety Recall Guidelines 2015' that would effectively deal with non-conforming *certified products*?
12. What are the internal audit processes set out in the *Quality Plan* and are they suitable for the *product*?

EXAMPLE 1 A template for a "text" type of quality plan.

1. Introduction

1.1 Purpose and scope of the project quality plan

The purpose of this project quality plan is to document the quality processes that XYZ will follow in order to effectively manage project quality from planning to delivery. It defines the procedures, processes and management systems to be used for the management of engineering and project management services.

[Describe relationship to project management plan, XYZ quality management system, etc.]

1.2 Project overview

[Include a description of the project including planned stages and schedule]

1.3 Scope of services

[Define the scope of the services included in the project quality plan]

1.4 Specific project risks

[List/describe specific project risks e.g. unusual characteristics related to client context, project context, project partners, requirements, deliverables, resources, communications, confidentiality]

2. Resourcing and communication

2.1 Roles, responsibilities and authorities

[Define roles, responsibilities and authorities – consider table to summarize]

2.2 Communication

[Define communication pathways and authorities, especially where multiple parties are involved in the project]

2.3 Competence, awareness and training

[To be included where there are specific competence, awareness and training needs for the project]

3. Quality management

3.1 Quality policy and QMS

A copy of the XYZ quality policy statement is included in Appendix A.

[Define application of XYZ quality management system to this project quality plan]

3.2 Quality objectives and KPIs

The key quality objectives for this project are to...

Key performance indicators (KPIs) are listed in...

3.3 Audits

To ensure that the project is delivered in accordance with the XYZ quality management system, the project will be audited as part of the internal audit programme.

[If project audits are planned as part of the project control process, outline the intended schedule]

3.4 Nonconformity management

Nonconformity records (NCRs) are retained in the...

Summaries and reviews for corrective action and continual improvement are maintained and updated by the project team in accordance with...

4. Project delivery

4.1 Project inputs

[Define handling and management of project inputs]

4.2 Scope changes

Any changes to the scope of the work shall be addressed via the change management process. It is the responsibility of all team members to notify the project leader of any potential or actual changes to the scope of the work.

4.3 Project control

[Include a description of the processes used for project control]

4.4 Manage project deliverables

[Describe or list deliverables, together with responsibilities for controlling completion]

4.5 Check, review, verify and approve

[Describe processes and responsibilities for checking (including checking of methods and application of standards/previous design solutions/validation strategies), reviews, verification and approval]

5. Documented information management

5.1 Computer network file structure

A computer network file structure has been adopted for this project within XYZ...

5.2 Documented information management process

[Describe/list how different types of documents are controlled]

5.3 Inputs, outputs and transmittals

[Describe/list how different types of documents are controlled. Define how incoming documents, change requests, outgoing documents and transmittal records are managed and registered]

6. Project deliverables

[Include description, list or table of deliverables and related information]

7. Approval requirements

[XYZ and client approval requirements, plus relationship to other interested parties where applicable]

8. Distributing the deliverables

[Define the process for transmittal of deliverables and the documented information to be retained]

9. Change management

[Define internal and external change management requirements, including changes occurring after delivery of documented information]

10. Identification and traceability

[Define or reference identification and retention requirements for quality plan outputs]

Appendices

For example:

— *Appendix A - XYZ quality policy*

— *Appendix B - Contract management plan table of contents*