INFORMATION ABOUT THE CONDUCTING OF SURVEILLANCES (AUDITS) OF A CODEMARK CERTIFICATE-HOLDER'S 'PRODUCT QUALITY PLAN' ALSO KNOWN AS A "BUILDING PRODUCT QUALITY PLAN" (BPQP)

Such surveillances exclude any requirement to also conduct surveillances at the point of manufacture.

A. The CodeMark Scheme Rules state under Appendix 1, Requirements for Product Evaluation:

3. Surveillance

3.1. Purpose

3.1.1. The primary objective of regular surveillance is to check that the basis on which certification was granted is valid and is being maintained.

B. The BCS Conditions of Contract state:

Annual or Periodic Surveillances:

BCS require annual or periodic surveillance of the product manufacturer's Quality Plan (MQP), where applicable, and the manufacturer's agent's or local importer's Building Product Quality Plan (BPQP). The surveillance of the MQP shall be carried out by a BCS approved entity on an annual basis, with a copy of the surveillance report forwarded to BCS. The surveillance of a BPQP will typically involve an audit at the head office as well as at building sites where the product can be seen being installed/constructed.

C. ISO 117065 states under Section 6.2 Resources for Evaluation, **6.2.1 Internal resources:**

When a certification body performs evaluation activities, either with its internal resources or with other resources under its direct control, it shall meet the applicable requirements of the relevant International Standards and, as specified by the certification scheme, of other documents. For testing, it shall meet the applicable requirements of ISO/IEC 17025; for inspection, it shall meet the applicable requirements of ISO/IEC 17020; and for management system auditing (of product quality plans), it shall meet the applicable requirements of ISO/IEC 17021.

D. ISO17021: 'Conformity assessment - Requirements for bodies providing audit and certification of management systems' sets out the principles and requirements for the competence, consistency and impartiality of bodies providing audit and certification of all types of management systems.
These requirements cover amongst other matters the need for auditor impartiality, competence and confidentiality.
They also set out the requirement for the auditor to prepare and advise the auditee of the audit agenda, conducting the audit including identifying and recording audit findings.

E. Based on the above, BCS require the 'product quality plan' (or BPQP) relevant to each certificate to undergo periodic surveillance (audits) according to the frequency determined during the Evaluation Plan process.

F. Such surveillances / audits shall follow the requirements set out in ISO17021 and the requirements of BCS. This includes the annual revalidation / review of all relevant information on or before the anniversary of the issue of the CodeMark certificate. It also includes periodic audits of the certificate-holder's 'product quality plan' (or BPQP) at both head office (or relevant New Zealand or Australian based office) and at a sufficient number of building sites to enable BCS to have confidence in these plans.

G. Prior to the conducting of audits at head office and at sites, BCS shall prepare and inform the auditee of the proposed 'audit agenda' together with any special requirements. The auditee shall inform BCS whether any special protective clothing and equipment is required on any of the building sites selected by the auditee to enable the site auditing to be carried out.

H. On arrival at the certificate-holder's office or at the first building site, the BCS appointed auditor shall provide the following –

At the first meeting:

1. At the first meeting, usually at a building site, introduce the person carrying out the surveillance / audit and any additional persons assisting or carrying out witnessing of the audit;

2. At this first meeting, review the audit plan, discuss the purpose of the surveillance / audit, relevant conditions relevant to the audit, and the intended outcome, including the expectation that some 'non-conformances' are expected to be uncovered, which will require corrective action by the certificate-holder;
3. At this first meeting, check on all relevant work-place safety issues that the BCS personnel need to be aware of;
4. Use the supplied Agenda to review and discuss each item, assess its compliance and make notes;
5. Ask about the management of what happens when a raw material, or component, or finished product or the like, is found to be outside the accepted limits or specifications, including who is responsible for deciding what happens, what records are kept if any, what markings are placed on the item or packaging, where in the storage area is the item placed and any relevant questions;
6. Ask about the management and training of persons approved to use or apply or install the product(s), including use of temporary staff, supervision, who is made responsible for keeping records and any other relevant question;
7. Check whether or not there is an active "complaints register". Check to see what type of complaints register has been provided and what actions have been taken;
8. At the conclusion of the first (site) meeting, provide a brief summary of the findings, positive and those deemed 'non-conformances'. Where no second meeting is to be held, say at the office of the certificate-holder, then a more in-depth review of the findings may be appropriate.

At the second meeting:
9. At the commencement of the second meeting, usually at the offices of the certificate-holder, it is timely to review the purpose of the surveillance / audits and intended outcomes;
10.Ask about the reliability of information management, commencing with the placing of an order for raw materials or components or product(s).
11.Ask who is made responsible for keeping records, what paper or computer-based recording is carried out and any other relevant question;
12.At the conclusion of the office meeting, provide a summary of the findings, positive and those deemed 'non-conformances'.
13.Provide a timeline as to when the audit / non-conformance report will be made available and what is required in response to "Minor", "Major" and "Critical Non-conformance" findings;
14.Answer any other relevant questions as deemed appropriate to assist with the responses to the findings.

I. A **Non-Conformance Report** (NCR) is issued when the auditee fails to meet a requirement in the BPQP or CodeMark certificate.

How are Non-conformances Identified?

Non-conformances are typically identified in the context of a quality management system audit. The auditor documents the non-conformance in a Non-conformance Report containing Corrective Action Requests (CARs) which is subsequently issued to a management representative who directs corrective action.

Non-conformance Severity

(1) CRITICAL: A severe deviation from documented requirements such that maintenance of safety, quality or performance is impacted. Critical non-conformance represents a very significant omission or failure in the product quality plan, (BPQP), one that has a direct and adverse effect on the safety or reliability of the product. There may also be a requirement for product recall and site investigations.
(2) MAJOR: A significant deviation from documented requirements such that maintenance of performance is inhibited. It represents an unacceptable safety or performance risk without constituting an overall system failure in the area concerned. There may also be a requirement for product recall and site investigations.
(3) MINOR: A deviation of the documented product quality plan procedures or the like, which are not likely to significantly affect safety or reliability of the product.
(4) OBSERVATION: A recommendation given to affect an improvement.