CERTIFICATION
SOLUTIONS INTERNATIONAL

PRODUCT ASSESSMENT SCHEME

Rules & Requirements

PAS-Mark
Product
Conformance

Certification Solutions International Pty. Ltd. ABN 49 123 368 650
PO Box 904 Fairfield, NSW 1860 Australia, Ph: +61 2 9728 7608
Email: admin@csi-certification.com Web: www.csi-certification.com

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In the spirit of reconciliation, CSi acknowledge the Traditional Owners and Custodians of country throughout Australia and the Torres Strait Islands, their connections to the land, sea and community and thank them for protecting this country and its ecosystems since time immemorial. The Cabrogal of the Darug Nation are the Traditional Owners and Custodians of this land where CSi are Head Office, based. We pay our respect to the elders both past and present and extend that respect to all Aboriginal and Torres Strait Islander, first nation people.

AMENDMENT HISTORY	
Date	**Amendment Summary**
22/4/2021	Document layout-format changes, Issue 2, Revision 0
01/12/2021	Additional information added to Scope Statement, Issue 2, Revision 1
08/02/2022	Inclusion of reference to IAF MD 4:2022 Issue 2 Revision 3 as per JAS-ANZ notification email 08/02/2022
31/10/2023	Reviewed and reformatted.
07/03/2024	Updated transfer conditions

Website

Email

1.0 Introduction

1.1 General.

The aim of Certification Solutions International, (**CSi**) Type 5, Product Assessment Scheme, (PAS-Mark), is to address consumer concerns over product attributes, such as suitability for intended purpose and to generate confidence in the community that products manufactured, tested, and marked with the PAS-Mark, comply with a particular National or International Standard, Technical Specification, or Industry Code. The PAS-Mark Scheme supports the use of new and innovative products and is one of a number of options available for meeting "Fit for Purpose" and/or "Evidence of Suitability" requirements.

The Product Assessment Scheme has been planned to give:

- Credibility with clients, consumers, manufacturers, retailers, warehouses, industry suppliers and regulatory bodies.
- Users of the conforming product the opportunity to make informed decisions.
- High value, cost competitive certification services to clients across the broad spectrum of small, medium, and large organisations in an ever-increasing global trading marketplace.
- National and International recognition of the PAS-Mark Scheme, that fulfils the accreditation requirements for a product certification program.
- A business review process focused on the compliance of the product to the relevant standard, specification or industry code and a clients' management system in compliance with this document to demonstrate the client's ongoing ability to consistently manufacture compliant products.

The **CSi**, Product Assessment Scheme certification process, has been accredited by JASANZ.

1.2 Impartiality Statement.

The management of impartiality is of the upmost importance in providing certification services that our, Applicants, Clients, Government Regulators, and the General Public can depend upon. Decisions made by **CSi** shall be based on objective evidence obtained during, Business Reviews, product compliance with the Product Specification/s and assessment of testing or other documentation submitted to **CSi** as part of the certification process, and not based on, bias or prejudice, caused by the influence of individuals or third parties.

CSi does not provide any management - product system consultancy or internal audit services to Applicants, Clients. **CSi** do not market or offer its services as being linked with the activities of an organisation that provides management or product system consultancy or internal audit services to Applicants, Clients.

CSi shall assure the independence, competence and professional care of employees and nominated agents employed by **CSi** in collecting objective evidence and in making independent certification decisions during the certification process.

CSi obtains its financial support from the payment made by clients, for certification fees charged on services rendered.

2.0 Scope

This document defines the minimum requirements acceptable to **CSi** for the PAS-Mark Scheme to be placed into operation and maintained by the client and/or their sub-contracted manufacturer, hereafter commonly referred to as the client.

This document requires the client to maintain a system to direct and control the client's organisation with regards to product quality and product conformance with the specified standard and requirements of the PAS-Mark Scheme.

CSi maintain the expertise to assist you with your assessment and certification requirements for a range of PPE and Child Safety products, Safety Footwear, Safety Harnesses, Eye Protection, Safety Helmets, Hearing Protection, Safety Gloves, Child Restraints, Personal Flotation Devices, Structural Steel Products, Safety Glazing Materials, Insulating Glass Units, Doors and Windows, Heat Soak Ovens compliance, Fuel containers, Fire Alarms, Fire Extinguishers, Building Products, Potting Mixes, Engineered Wood Products, Timber Treatment Plants, Verification of Timber Properties.

The PAS-Mark Scheme is open to any suitable, Conformity Assessment Body to apply for accreditation.

3.0 PAS-Mark Licence Requirements

A client who is approved by **CSi** to use the PAS-Mark certification marking must comply in all respects with the PAS-Mark Scheme – Rules & Requirements and specified product standard.

CSi may at its discretion vary the requirements of the PAS-Mark Scheme – Rules & Requirements.

By issuing a PAS-Mark licence, **CSi** is confirming it is satisfied the client (licence holder), is capable of consistently producing product in conformity with the specified standard.

The client by applying the PAS-Mark to a product, warrants the product conforms to the relevant requirements of the specified standard.

The client shall maintain a quality plan as well as type and ongoing production batch testing for the certified product in accordance with the stated requirements of this document.

4.0 PAS-Mark Licence Conditions

4.1 Confidentiality.

Apart from what may be required by law and any accreditation requirements, **CSi** and the client will treat the agreement and working relationship between them as strictly confidential and will not disclose to any third party without prior written consent of the other, any information which comes into their possession, the possession of their employees, agents, or others by virtue of the agreement, and to the extent that it is not in the public domain.

4.2 Terms, Conditions and Appeals.

Refer to **CSi** document, PAS-002 Terms, Conditions & Appeals Process.

4.3 Product Compliance.

The client shall maintain control and supervision at all stages of the process to ensure completed product, product marking, and information conforms with all the relevant requirements of the specified standard.

All required actions necessary shall be taken to ensure the PAS-Mark is not associated with products which do not conform with the specified standard. Non-conforming PAS-Mark product detected in the marketplace shall be investigated by **CSi.** The cost of such investigation shall be borne by the client.

4.4 Annual Surveillance Business Reviews.

After the Initial Business Review and issue of a PAS-Mark licence to the client, **CSi** will undertake annual surveillance audits of the certified product in accordance with the stated requirements of this document.

5.0 Provision of Certification Service

The **CSi** PAS-Mark Scheme licence is issued for a term not exceeding, five years, reviewed annually. In certain circumstances **CSi** may issue a licence with an alternative validity. The client is subject to ongoing review for compliance with the product standard and PAS-Mark Scheme, Rules & Requirements as follows.

5.1 Client Application Review.

The applicant shall submit documentation comprising a **CSi** application form, (PASF-001), which will include details of the product standard for certification, a general description of the product/s to be certified and evidence in support of your application for product certification.

CSi shall review the client application form, and on approval shall request the client, to submit a quality plan and product specifications for the products to be covered by the PAS-Mark Scheme licence.

CSi shall review the submitted documentation, resolve any issues with the applicant and on completion of any corrective actions required to be completed by the applicant, prepare a plan for the initial onsite business review assessment.

5.2 Initial on-site Business Review.

CSi shall conduct an onsite assessment of the clients manufacturing site. The site assessment by **CSi** may also include, technical experts, authorised observers such as, JASANZ accreditation body auditors accompanying **CSi** to witness the application of **CSi** procedures for certification.

Where the client is based in a region where English is not the main language or English is not used by the audited organisation, **CSi** will arrange with the client for the services of a technical specialist, or auditor fluent in English and the local language and with a background knowledge of the product to be certified, to be in attendance during the business review.

During the onsite assessment It shall be established the client has a stabilised production and management system which is in accordance with.

- The **CSi** PAS-Mark Scheme Rules & Requirements,
- The client quality plan,
- Product type and/or batch testing is being undertaken on the product at defined intervals.

Initially this may involve an onsite assessment of capability, however once certification has been issued and production is underway, another site inspection takes place within thirteen months.

On successful completion of the initial business review the client will be required to complete **CSi** document, PASF_052-PAS-Mark Scheme - Declaration of Conformity. (Appendix C)

5.3 On-site Surveillance Business Review

Within thirteen months of initial certification, **CSi** shall conduct an on-site business review of the clients manufacturing site to verify the client's product remains in compliance with the product standard and PAS-Mark Scheme, Rules, and Requirements.

The scope of the business review shall not be less than that defined in the applicable standard or where not specified, a scope developed by **CSi**. Factors that will impact on surveillance methodology include,

- Batch release testing and record keeping.
- Product complaints.
- Product non-conformities.
- Compliance with the quality plan.
- Compliance with the product standard.
- Changes to the product standard or PAS-Mark Scheme – Rules & Requirements.
- Maintenance of Calibration, Training, Management Review, Approved Suppliers, Internal Audits, Document and Record control, Product recall process.
- Compliance marking.

On successful completion of the onsite business review the client will be required to complete **CSi** document, PASF_052-PAS-Mark Scheme - Declaration of Conformity.

5.4 Off-site Remote Surveillance Business Review

CSi may, at its discretion and in consultation with the client, conduct an off-site business review using remote audit methods of assessment to verify the certified product and quality plan. The scope of the off-site business review shall not be less than that defined in the applicable standard or where not specified, a scope developed by **CSi**. Factors that will impact on remote audit surveillance methodology include,

- Batch release testing and record keeping.
- Product complaints.
- Product non-conformities.
- Compliance with the quality plan.
- Compliance with the product standard.
- Changes to the product standard or PAS-Mark Scheme – Rules & Requirements.
- Maintenance of Calibration, Training, Management. Review, Internal Audits, Document and Record. control, Product recall process.
- Compliance marking.

On successful completion of the offsite business review the client will be required to complete **CSi** document, PASF_052-PAS-Mark Scheme - Declaration of Conformity.

5.5 Product Re-Evaluation.

At the end of the certification period the certified product is required to be re-evaluated. The re-evaluation process shall commence within three months prior to the end of the certification term.

The scope of the re-evaluation and business review shall not be less than that defined in the applicable standard or where not specified, a scope developed by **CSi**. Factors that will impact on product re-evaluation include,

- The requirement to re-submit product for Type Testing.
- Previous batch release testing and record keeping.
- Product complaints.
- Product non-conformities.
- Compliance with the quality plan.
- Compliance with the product standard.
- Changes to the product standard or PAS-Mark Scheme – Rules & Requirements.
- Maintenance of Calibration, Training, Management Review, Internal Audits, Document and Record control, Product recall process.
- Compliance marking.

On successful completion of re-evaluation process and onsite business review the client will be required to complete **CSi** document, PASF_052-PAS-Mark Scheme - Declaration of Conformity.

5.6 Significant Change Review.

In the event of any change that may be deemed to have a significant impact to the certified product, **CSi** may at its discretion require a Business Review (Onsite or Remote Surveillance Review), be conducted at cost to the client.

Examples of such events may include but not limited to:

- Changes to the applicable standard.
- Changes to product design/component parts.
- Altered production technique.
- Upgrades/updates to major manufacturing equipment.
- Change or additions to approved suppliers.

On successful completion of a significant change review the client will be required to complete **CSi** document, PASF_052-PAS-Mark Scheme - Declaration of Conformity.

5.7 Review Determination.

A decision on certification (the process of granting, maintaining, scope extensions or otherwise, suspension, withdrawal, or cancellation of certification) shall be communicated to the client within five business days of the completion of the onsite Business Review. Certification may be granted for a term not exceeding five years, however any license issued must be renewed annually (a period of not less than eleven months and not exceeding thirteen months) via an Onsite Business Review or Offsite Remote Surveillance Review, for the certification to remain current.

5.8 Extension or Reduction of Scope of Certified product.

Should the client wish to extend the scope of certified products to the same specified standard, where required, the client and **CSi** must agree on, product test sample selection and a recognised test facility to be commissioned for product type testing.

When an organisation's scope of certification is reduced, **CSi** shall issue revised certificates of conformance and product compliance schedules as appropriate, and the certified organisation shall.

- Return all superseded certificates.
- Ensure the use of the certification mark is adjusted to reflect the reduced scope of certification.
- Ensure that all advertising and promotional activities and materials are adjusted to reflect the reduced scope of certification; and

Pay any fees that are applicable for the facilitation of this activity.

5.9 Maintenance of Certification.

The client shall.

Maintain a Quality Plan or Quality Management System, and at all times, comply with the stated requirements of the PAS-Mark Scheme – Rules & Requirements, and the certified Standard/s.

The client shall confirm to **CSi** if there has been any significant change to the certified Product, Design, Materials, Manufacturing process or Manufacturing Location.

Ensure compliance marking, called up by the applicable standard are applied to the certified product and/or packaging materials and are clearly visible and legible.

Maintain a current copy of the, **CSi** PAS-Mark Scheme documents, PAS-001, PAS-002, PAS-003 and the applicable standard/s.

Maintain, Type and Batch release test results/records, and all records relating to, Management Review, Calibration, Approved Suppliers, Training, Internal audits, Work Order Traceability, Design, Complaints, non-conformance, and Product Recalls.

Maintain and provide where required, specifications on Installation, Commissioning, Scope of use, Warranty.

Renew the certification of a product when there has been a change to the product standard which requires type testing to be undertaken to verify product compliance.

5.10 Termination of Certification.

The client may terminate their certification at any time by giving thirty days' notice in writing to **CSi**. Termination shall be in accordance with the stated requirements of **CSi** document, PASF-002 Terms, Conditions & Appeals.

5.11 Brand Name Endorsement.

Where a client requests **CSi** to use a brand name or logo in their compliance marking which is the legal name or trademark of the client's customer. The client shall request **CSi** to add the brand name endorsement to the applicable product compliance schedule scope to allow for traceability of the brand name endorsement against the **CSi** issued licence number for the client.

6.0 Product Testing

6.1 Product Type Testing.

The client will put forward a Type Test Plan for the products submitted for certification. The test plan shall be reviewed and approved by **CSi**. (refer to Appendix F, Guidelines for Product Testing).

The scope of type testing shall not be less than that defined in the standard. Where it is not specified in the standard, a scope shall be developed between the client and **CSi**.

The scope of testing shall include all testing requirements which are applicable to a range of models expected to perform similarly during testing.

Product type test samples shall be selected from the product model in a range that can be expected to give the worst-case result for any given test or group of tests in order to qualify a range of models.

Product test samples will normally be selected by **CSi** or an authorised agent. This requirement may be varied as determined by **CSi** to suit circumstances as required.

Product test samples shall be in the condition in which they are offered to the market for sale and shall be accompanied by all relevant attachments, packaging, labelling, instructions for use, installation, and maintenance.

Test samples shall be selected from a stabilised production process. Test samples shall be selected at random from a production lot that is large enough to ensure the sample is representative of the manufacturing process.

Where a prototype test sample is used for type testing to demonstrate the suitability of product design in accordance with the standard. Additional correlation testing will normally be required once production has stabilised and usually before certified product is released.

The test laboratory shall be agreed between **CSi** and the client. The contract for testing shall be between the client and the laboratory, unless otherwise specified. Any costs for incidental testing shall be met by the client.

Should a product fail type testing, **CSi** shall be provided details of the nature of the test failure, and the corrective action taken by the client to enable retesting of the product. Retesting of a failed product will normally be conducted at the same test laboratory, unless otherwise agreed by **CSi**.

The client shall provide **CSi** with an original recognised test report at the completion of testing. Evaluation and acceptance of the test report results for certification of the product remains the responsibility of **CSi**, who reserve the right to reject any test results.

CSi reserve the right to retest certified product at any time during the period of certification. Certified product may be selected from the clients manufacturing site, warehouse, marketplace. The cost for retesting shall be fully met by the client.

Where a client submits a type test report conducted prior to the application being made to **CSi** for product certification. The report shall be given consideration for use, provided the report is in compliance with the current standard, is not more than five years old, is traceable to a production batch and meets **CSi** requirements, documented herein.

Records of type testing shall be maintained by the client for a period of ten years after the date of filing, even if the contractual arrangement between **CSi** and the client has been terminated.

6.2 Batch Release Testing.

The client shall put forward a Batch Release testing regime for the products submitted for certification. Where ongoing product batch testing is not specified in the standard, a scope shall be developed between the client and **CSi**.

The client shall undertake batch release testing in accordance with the specified standard/scope, using the manufacturers approved test facilities or an external recognised laboratory.

Records of batch release testing shall be maintained by the client for a period of ten years after the date of filing, even if the contractual arrangement between **CSi** and the client has been terminated.

7.0 Management System Responsibility

7.1 Quality Plan Summary.

Senior management shall ensure communication processes are established within the organisation to monitor the effectiveness of the implementation of the product quality plan.

Senior Management are responsible for the quality planning and continual improvement of the company and shall develop, implement, and maintain a controlled, Quality Plan for the certified product to ensure that all products manufactured under the **CSi**, PAS-Mark Scheme are,

- manufactured in accordance with a documented management system for the certified product.
- are inspected and tested in accordance with the specified standard. Where the specified standard does not clearly define inspection and testing, then the applicable **CSi** technical specification is to be used; and
- when sold are following the specified standard and PAS-Mark Scheme documents, PAS-001, PAS-002 and PAS-003.

It is a requirement of the PAS-Mark Scheme for the client product Quality Plan to be reviewed, approved, and registered by **CSi**.

The Quality Plan information, (refer to Appendix D & E) may be drawn from a documented ISO 9001 quality management system or may be a standalone document which shall contain as a minimum the following information.

1. The responsibility, authority and interrelation of all personnel who manage, perform, and verify work affecting quality, has been defined and documented by the company, in particular, personnel who need the organisational freedom and authority to:
    - initiate action to prevent the occurrence of product non-conformity.
    - identify and record any product quality problems.
2. An organisational chart for the client's manufacturing site.
3. A quality policy or statement, which shall make a statement of compliance to the product standard.
4. Product compliance marking details.
5. Production batch testing
6. A process flowchart that.
    - clearly shows all major steps in the administrative and manufacturing processes related to the certified product.
    - clearly identifies all inspection and testing processes from incoming goods through to final inspection & testing.
    - clearly identifies any part of the processes that is sub-contracted off-site.
    - shows specific references to quality system documentation such as procedures, work instructions, inspection, and test reports.
    - where included, a legend of symbols or terms used in the document.
7. A position description for a nominated management representative and deputy management representative who shall be appointed and given authority and responsibility to ensure.
    - Adequate control is exercised at all stages of the production process.
    - Marking and labelling comply with the standard/specification relevant to the compliant products.
    - Finished product complies with the Quality Plan, standard, **CSi** PAS-Mark Scheme.
    - Training of all staff in quality related procedures.
    - Document and record control is maintained.
    - To initiate action to prevent the recurrence of non-compliant product. Identification of the type of failure, Notify **CSi** of the extent of non-compliant products in the marketplace. Investigation of non-compliance and corrective & preventative actions taken and its effectiveness. Recall of non-compliant products sold, and maintenance of a historical summary of events.
    - Identify and initiate solutions to quality problems.
    - Ensure Product/Management System internal audits are conducted as scheduled.
    - Delegate duties relevant to product compliance requirements, where necessary.
    - Ensure management reviews are conducted.
    - Deal with all matters relating to quality.
    - Inform **CSi** of changes to the product standard, specifications, production processes, product design, raw materials that could affect compliance of the certified product.
    - Inform **CSi** of changes to company ownership, name, address, legal status, key personnel etc.

7.2 Changes to Product Standard.

Should a standard be amended or reissued, and the standard nominates an implementation timeframe, **CSi** shall require the client to adopt the same timeframe. Where a standard does not nominate an implementation timeframe, the client shall be notified by **CSi** and given twelve (12) months to upgrade their product compliance to the standard. This may require re-testing of some or all components of a compliant product.

7.3 Document Management.

Documentation required by or referenced in the quality plan, shall be controlled. The client shall document the controls needed to,

- Approve documents prior to issue.
- Review and update documents as necessary.
- Ensure changes and current document revision status is identified.
- Ensure documents are legible and readily identifiable.
- Ensure external documents in use by the company, such as standards, material specifications, are identified and their distribution controlled.
- Prevent the unintended use of obsolete documents, ensuring they are identified should they be retained for any purpose.

7.4 Record Management.

The company shall document the controls to be put in place to identify, store, protect, retrieve, and dispose of records. Records shall at all times remain legible, indelible, readily identifiable, and retrievable and shall be available to **CSi** representatives for a period of 10 years after the date of filing, even if the contractual arrangement between **CSi** and the client has been terminated.

Records shall be established, maintained, and retained to provide evidence the compliant product was manufactured, inspected, tested, and sold in accordance with the specified standard, quality plan and/or technical specification, where applicable. Records of compliant product shall also be identifiable to, approved suppliers, material specifications and declarations of conformity, critical components, test and measuring equipment, personnel involved in the manufacture, inspection, and testing of the product.

The following records, where applicable, and as a minimum, are required to be maintained/retained by the company in relation to product conformity.

- Type test records.
- Batch test records.
- Work order records.
- Product component records.
- Supplier specifications.
- Complaints records.
- Process monitoring records, final inspection records.
- Inspection, maintenance, and calibration records.
- Contractor and approved supplier records.
- Internal and external audit records.
- Competence, Training, and awareness.
- Planning of product realisation.
- Review of requirements related to the product.
- Design and development inputs.
- Design and development review.
- Design and development verification.
- Design and development validation.
- Control of design and development changes.
- Purchasing records.
- Validation of process records for production and service provision.

7.5 Statutory and Regulatory Requirements.

The client shall take into consideration the statutory and regulatory requirements that apply to its products for local and export markets the product is intended for.

7.6 Internal Audits.

Management shall plan and conduct internal audits to ensure the administrative and production systems in place are suitable, adequate, and effective in complying with planned arrangements and are properly implemented and maintained.

It is a requirement of the PAS-Mark Scheme for internal audits to be conducted at a frequency of not less than once per calendar year. Records of internal audits shall be retained for review by the **CSi** representative during each Business Review.

7.7 Purchasing.

Management shall maintain a list of approved suppliers, evaluated, and selected on their ability to supply components, materials, and services in accordance with the product design requirements.

Reviews of approved suppliers shall be conducted on at least an annual basis; records of these reviews shall be maintained.

Purchasing documentation shall include detailed information on purchased components, materials and services including any requirement for a certificate of conformity for any material or service utilised in the manufacture of a conforming product.

7.8 Management Review & Customer Focus.

Management shall define the boundaries and applicability of their management system. Management shall review the organisations management and production systems at planned intervals.

Management shall make all necessary arrangements to verify customer requirements are recorded, determined, and complied with, to ensure customer satisfaction. Management shall monitor customer feedback and the investigation and resolution of customer complaints.

Management reviews and customer focus reviews shall be conducted on at least an annual basis. Retained records are to be made available to **CSi** when requested.

8.0 Product Compliance

8.1 Infrastructure, Work Environment.

Management shall define and maintain the infrastructure required for the realisation of compliant product. For example, factory workspace, plant and equipment, storage, transport facilities, development of maintenance procedures etc.

Management shall ensure the work environment is maintained to consistently produce compliant product and is suitably, monitored and controlled.

8.2 Resource Management.

Management shall determine the resources needed to implement, maintain, and improve the quality management and production system.

Resource management shall ensure personnel are competent and suitably trained in processes or operations which have a significant influence on the compliance of the product to the standard, its safety or performance. Records shall be maintained for all personnel involved with the management or production of certified product. These records as a minimum shall detail, education, training, job skills and experience of the individual. Such training records shall be review on at least an annual basis.

The organisation shall determine and maintain the knowledge necessary for the operations of its processes to achieve product conformance.

8.3 Design & Development.

The organisation shall plan and control the design and development of products to be certified. This shall include keeping records of design inputs and outputs, design reviews, verification, validation, and developmental changes.

Type Testing shall be conducted on product submitted for certification at a recognised, ISO/IEC 17025 accredited laboratory. Where a laboratory is not accredited, **CSi** may accept a test report from these establishments which may involve a separate **CSi** process defined in **CSi** document, Supervised Manufacturers Test Report; (PASF_008 SMT Report).

Future design changes and modifications to the certified product shall be identified, documented, and reviewed for possible effects on product conformity against the requirements of the specified standard. **CSi** shall be notified in writing prior to the implementation of any design changes to the certified product or to technical documentation that shall affect compliance with the specified standard.

Re-Type testing of certified product may be required should:

- The certified product undergoes a design change from the original certified product that may affect compliance with the standard.
- Failure of the certified product when tested in accordance with the standard, either by ongoing production batch testing or independent testing of product sampled from the marketplace.

Re-testing of failed product shall be undertaken at the same laboratory which performed the original Type Test, unless **CSi** agreed to the use of an alternative establishment. All costs associated with Type Testing/retesting/market sampling by **CSi** are the responsibility of the client.

Changes that do not affect compliance of the product with the standard are not required to be communicated to **CSi**.

The client may provide **CSi** with Type Test reports which has been conducted prior to making an application for product certification. The reports shall be from a recognised laboratory, be less than five years old, traceable to a production batch of the product to be certified and meet the requirements stated in this document.

Sample selection of product to be Type Tested/certified may be by **CSi** allocated representative, person, or organisation.

The samples selected shall be representative of the product to be certified.

The samples shall be representative of a product or a group of products if the products are expected to perform in a similar manner when tested. Samples selected for testing shall be from the product which is expected to give the worst-case scenario during testing. **CSi** reserves the right to make the final decision on product selected for Type Testing.

Designs for product compliance markings, packaging, labels etc, shall be submitted to **CSi** in the form of photographs, drawings, or other electronic formats acceptable to **CSi** with the completed Type Test Reports.

On successful completion of a product Type Test evaluation, all components, drawings, photographs, and materials used in the product during the manufacturing, assembly and testing processes shall have a design freeze applied.

8.4 Quality Control.

The management systems shall address those activities which have a critical bearing on the compliance of the product to the standard, its safety or performance. Management shall arrange for the collection and analysis of appropriate data to demonstrate the suitability and effectiveness of the management and production systems.

Management shall ensure **CSi** staff, nominated sub-contractors (and authorised observers accompanying **CSi**), during evaluation, surveillance business reviews, have unrestricted access to examine documentation and records, access to relevant equipment, locations, areas, personnel and any client's sub-contractors.

8.5 Verification of Purchased Product.

Management shall ensure purchased components; materials and services comply with specified purchase requirements and the relevant standard. The extent of verification will vary in accordance with the nature of the item and the relationship of its quality to the specified design requirements of the certified product.

Where a client relies on a certificate of conformity as evidence of product compliance for the acceptance of incoming goods to predetermined specifications, standard or purchasing requirements. The certificate of conformity shall clearly identify the products to which it refers, the specified standard or purchasing requirements against which the declaration has been made.

Records shall be maintained for verification of purchased product.

8.6 Customer Supplied Product.

Where a customer supplies components for inclusion in the certified product, it is the manufacturer's responsibility to identify and verify compliance of the components with the

specified standard or purchasing requirements. The manufacturer is responsible for the protection and safe storage of customer supplies components.

Records shall be maintained for customer supplied components.

8.7 Identification & Traceability.

Management shall establish and maintain documentation to ensure that a certified product is traceable at any stage of its life cycle, when in direct influence or control of the client. This includes but is not limited to product inception, design, raw material source, externally manufactured components, internal processing lines, commissioning time, packaging, and shipping.

The form and manner in which the PAS-Mark can be applied to conforming product is detailed in **CSi** document, PAS-003 Use of certificate and trademark logo.

The client shall ensure certified product is released by authorised personnel. Records shall be maintained of released certified product.

Certified product compliance markings which include the **CSi** PAS-Mark logo may be applied by stamping, etching, printing, casting, moulding or by other means onto the product. The completed marking shall be inspected at regular intervals to ensure it is readable.

The **CSi** PAS-Mark Logo shall be applied to a certified product in a manner that is permanent. Where removable labels are used, they shall be of a type that cannot be reapplied after removal.

8.8 Production Inspection & Testing.

The manufacturer shall ensure production is monitored and inspections are conducted at all stages of the manufacturing process to ensure that piece-parts, components, and sub-assemblies, remain in accordance with the original product detailed in the design and development.

The manufacturer is required to conduct ongoing compliance inspections and tests, which shall include testing in accordance with the specified standard. Where the standard does not clearly specify ongoing testing, a technical specification shall be agreed between the client and **CSi** which shall state minimum requirements for in-house inspection and testing of certified products.

The manufacturer shall document their system of inspections and tests. This documentation shall clearly state that inspections and tests are planned and implemented to ensure the finished product complies with the requirements of the standard. Final release of certified product is by a person/s who have defined responsibility and authority.

8.9 Control of Non-Conforming Product.

It is a requirement for non-conforming product to be identified and segregated (where practicable), by a person with appropriate authority and responsibility to report non-conformities. Records of non-conforming products are to be maintained. These records shall detail as a minimum, the date, the nature of the non-conformity, product identification details, investigation of the non-conformity, action taken to repair/rework the product, re-inspections undertaken, and concessions granted.

Products which cannot be re-worked/repaired to compliance requirements shall have the PAS-Mark logo and product compliance markings de-faced or removed prior to disposal, should this not be possible then the product is to be destroyed.

The client shall maintain a documented procedure to manage a recall of certified product from the marketplace. This procedure shall comply with or be similar to the “Australian Competition and Consumer Commission (ACCC) Consumer Product Safety Recall Guidelines” that would effectively address non-conforming certified products.
https://www.productsafety.gov.au/recalls/conducting-a-consumer-product-safety-recall

CSi as a minimum require the client to notify and report the following in regard to a product recall.

- The identification of the type of failure.
- Notifying **CSi** of the extent of the non-conformance
- Investigation of the non-conformance (including corrective & preventative action).
- Recall of the certified products already sold.
- Maintenance of an historical summary of events

8.10 Corrective – Preventive Action.

Corrective actions are the result of non-conformance, for example but not limited to the following areas:

- Internal or external audits.
- Supplied service.
- Regulatory compliance.
- Sub-contractor performance.
- Product compliance.

Corrective Action Requests shall be raised by anyone in the organisation.

When a non-conformity occurs, the client shall.

- review the non-conformity,
- take action to control the non-conformity, and
- address the consequences of the non-conformity.

The client shall define how they review nonconformities,

- determine the root cause of the nonconformity.
- evaluate the need for action to ensure the nonconformities do not reoccur.
- determine what actions are needed and how these actions are implemented.
- Record the results of action taken.
- Reviewing the effectiveness of actions taken
- Update risks and opportunities determined during planning.
- Make changes where required to the Quality Plan, quality management and production systems.

Preventive actions are prediction-based, proactive measures that seek to prevent or monitor potential risks before they escalate into major, potentially harmful issues.

Preventive actions may include:

- Reviewing or auditing approved suppliers.
- Monitoring and analysing negative trends.
- Conducting risk analysis.
- Conducting regular performance reviews.
- Establishing training programs.
- Implementing calibration control programs.

8.11 Measurement, Analysis & Improvement.

The client shall put in place methods to monitor and measure the quality/production system processes. The client shall be able to demonstrate the ability of the quality/production processes to achieve the planned results and that, the final product has been verified as compliant. Should the planned results not be achieved the client shall be able to show what corrective actions have been taken to revalidate the processes.

8.12 Monitoring, Inspection, Measuring & Test Equipment.

Monitoring, inspection measuring and test equipment, used in determining the compliance of the product to the standard shall be calibrated at specified intervals and subject to an operational check prior to use.

Monitoring, inspection measuring, and test equipment shall be clearly identified to allow traceability of calibration status to records or certificates of calibration. The monitoring, inspection measuring, and test equipment shall be capable of being re-adjusted, when necessary, by a qualified person and be safeguarded from adjustments.

All calibrations undertaken on monitoring, inspection measuring, and test equipment shall be traceable to national or international standards. Where this is not possible, records are to be maintained on the basis used for calibration and/or verification.

When in use and during storage, monitoring, inspection measuring, and test equipment shall be protected from deterioration or damage.

Records of calibrations undertaken for monitoring, inspection measuring, and test equipment shall be retained.

The records shall include equipment identification, recalibration interval, reference standards/equipment, method of calibration, uncertainty of measurement where necessary, the environmental conditions where relevant, the calibration results, a statement of compliance with the relevant specification, name and signature of the authorised person who performed the calibration, together with identification of the organisation they represent and date of calibration/adjustment.

Re-calibration intervals shall be determined given the results of previous calibration records and its usage.

8.13 Preservation of Product.

Management shall define and implement processes for the handling, packaging, storage, perseveration, and delivery of the product. These processes shall ensure systems are in place to prevent damage, deterioration, or misuse of the product during internal processing and thought to final delivery of the product to the customer, or where applicable, the end user.

8.14 Sub-Contracted Manufacturing.

Where subcontracted manufacturing of components is used by the certified client for elements of the certified product, controls shall be put in place by the certified client to verify that components manufactured by an approved sub-contractor comply with specifications.

The manufacturing processes carried out by the subcontractor shall be controlled by the certified client and/or manufacturing facility and incorporated into the documented quality plan. The quality plan shall include where applicable relevant procedures, work instructions and specifications to be employed by the sub-contractor.

CSi reserves the right to assess the sub-contractors quality system and manufacturing processes. Sub-contractors shall allow access to their premises by **CSi** assessors and observers for the purpose of such inspections.

The sub-contractors shall not further sub-contract an

9.0 Transfer of Certification

9.1 Between Legal Entities

A request to transfer a PAS-Mark Scheme, certificate of conformance and product compliance schedule from one legal entity to another legal entity shall be regarded as a new application and evaluated accordingly.

9.2 From Other Accredited Certification Bodies

CSi does not accept any product transfers between accredited bodies.

All new clients are treated as a new application.

The applicant must declare any previous certifications as well as any outstanding product stand related non-conformances issued by their current or previous CAB.

CSi shall ensure that transfers are not initiated due to an organisation's lack of compliance.

9.3 Transfers from CSi

The following information is for organisations wishing to transfer their product or management system certification from **CSi** to another certification body.

Requests received from a certification body, for a transfer of certification away from **CSi** will be directed to the General Manager **CSi** who shall coordinate the process.

CSi will confirm with the client their desire to transfer certification and their reasons for doing so.

Once the request is confirmed, **CSi** will send information to the requesting certification body, and which may include:

- Any notification of threats to certification (including outstanding invoices), which would prevent the transfer.
- Most recent review report.
- Most recent review findings
- Current certificate(s)
- Any information of current threats to certification, which would prevent the transfer.

CSi shall maintain the certification with the accreditation body register, and our internal database until the stipulated transfer date.

10.0 Multi-Site Organisations

Certification issued by **CSi** is site specific and only covers the manufacturing site and product/s identified in the certificate of conformity and product compliance schedule/s.

11.0 Use of ICT by CSi

In developing the remote business review methods of assessment **CSi** have taken into consideration the following limitations:

The use of a remote business review is permitted under International Accreditation Forum (IAF) rules, but its application is controlled and cannot be used in all circumstances.

CSi will utilise tools and processes which are consistent with the policies established by the IAF and monitored by our accreditation body, the Joint Accreditation System of Australia, and New Zealand, (JASANZ).

The use of ICT shall only be undertaken when it is mutually agreed between **CSi** and the certified client - manufacturing site.

CSi shall ensure the integrity, confidentiality and security of all company, IT systems, remote audit records and information in accordance with Australian Government, Federal and State Laws/Acts, IAF MD 4 and PAS-Mark documentation.

CSi shall ensure it has the competence and resources to implement its ICT Plan. This will provide **CSi** auditors, employees, and management, with ICT methods and tools including:

- Meetings by means of teleconference facilities, including audio, video, and data sharing.
- Review of key documentation and business review interviews using teleconference tools.
- Site activities, by verifying documentation and records, by interviewing auditees and even by auditing facilities and processes using, digital photography, streaming video, and audio footage through mobile or other technology.
- Follow up of corrective and preventive actions in response to non-conformities can also be carried out remotely. Documentation can be shared via email, facsimile, post, and reviewed by the CSi account manager or combined with live interviews using audio/video connection.

In the case of non-fulfilment of the above measures or non-agreement of information security and data protection measures, **CSi** and the client shall investigate the use of other methods to conduct the business review and reach an agreement on service delivery which shall be documented.

When no agreement is reached for the use of ICT for a business review, other methods shall be used to fulfil the business review objectives, **CSi** and the client shall investigate the use of other methods to conduct the business review and reach an agreement on service delivery which shall be documented.

Virtual sites are not included within the scope of certification activities currently offered by **CSi**.

Australia regulates data privacy and protection through a mix of federal, state and territory laws. CSi shall comply with the following information security and data protection measures and regulations.

- The Federal Privacy Act 1988 (Cth) (Privacy Act) and its Australian Privacy Principles

Most states and territories in Australia (except Western Australia and South Australia) have their own data protection legislation.

These acts include:

- Federal Privacy Act 1988 (Cth) (Privacy Act) and its Australian Privacy Principles
- Information Privacy Act 2014 (Australian Capital Territory)
- Information Act 2002 (Northern Territory)
- Privacy and Personal Information Protection Act 1998 (New South Wales)
- Information Privacy Act 2009 (Queensland)
- Personal Information Protection Act 2004 (Tasmania), and
- Privacy and Data Protection Act 2014 (Victoria)

12.0 Declaration of Conformity

The Client is required to complete and return to **CSi** the following Declaration of Conformity prior to certification being granted/issued.

- PASF_052-I1-R1-PAS-Mark-Declaration of Conformity

13.0 Referenced Documents

The following documents have been referenced in relation to the Product Assessment Scheme.

13.1 External Reference Documents/Standards.

- ISO 9000 Quality management systems – Fundamentals and vocabulary.
- ISO 9001 Quality management systems – Requirements.
- ISO 9004:2011 Managing for the sustained success of an organization - A quality management approach.
- AS ISO/IEC 17000 Conformity assessment – Vocabulary and general principles.
- AS/NZS ISO 10005 Quality management systems – Guidelines for quality plans.
- ISO 10012 Measurement management systems - Requirements for measurement processes and measuring equipment.
- ISO/IEC 17025 General requirements for the competence of testing and calibration laboratories
- ISO/IEC Guide 17065 Conformity Assessment – Requirements for bodies certifying products, processes, and services.
- ISO/IEC Guide 17067 Conformity assessment - Fundamentals of product certification and guidelines for product certification schemes.
- ISO 10377 Consumer product safety – Guidelines for suppliers
- ISO 31000 Risk Management – Principles and guidelines
- IAF MD 4 Mandatory document for the use of information and technology (ICT) for auditing/assessment purposes
- National Construction Code (Australia)
- Building Code (New Zealand)
- (ACCC) Australian Competition & Consumer Commission – Consumer Product Safety Guidelines

13.2 CSi Reference Documents.

- PAS-002 Terms, Conditions & Appeals Process.
- PAS-003 Use of Certificate & Trademark Logo.
- PASTS-000 Technical Specification, General Requirements.
- PASF_001 PAS-Mark application form
- PASF_052 PAS-Mark- Declaration of Conformity
- PASF-008 Supervised Manufacturers Test Report
- PASP-001 Accreditation Manual
- PASP-002 Business Review Methodology
- PASP-003 Operations Manual
- CDP_012 Remote Business Review Procedure
- JAS-ANZ Accreditation Manual
- PASF_003 PAS-Mark Scheme Business Review Report
- PASF_002 PAS-Mark Scheme Business review findings

14.0 Definitions

The terms used in this document have meanings defined by AS ISO/IEC 17000, ISO 9000, and ISO 9001 except where the following definitions apply:

Applicant

Individual or legal entity that has applied for the **CSi**, PAS-Mark Scheme licence and the use of the Pas-Mark logo.

Business Review

A systematic, independent, documented process for obtaining evidence and evaluating such evidence objectively to determine the extent to which the Business Review Criteria are being fulfilled.

Batch

A batch is a collection of products, identical with respect to predetermined criteria such as, but not limited to size, type, conditions and time of production or delivery from which a sample may be taken as an indicative representation of the population to test its conformance with a defined specification.

Client's Premises

The address nominated by the client as being the principal location where either:

- Critical components are manufactured and/or critical processes are implemented, and the final assembly, inspection and testing of the Certified Products takes place, and/or,
- The location where daily business activities are carried out such as but not limited to; incoming and outgoing orders, communications, employee training, management meetings and where business processes are developed, documented, and implemented prior to the delivery of the certified product.

Client

A client is a legal entity who may be engaged in the activity of manufacturing, assembly, distribution, act in the capacity of an agent or be the retailer of the defined product/s. The client shall be the legal entity issued with a certificate of conformance and product compliance schedule, granted the right to use the PAS-Mark, a certification trademark of **CSi**. The client shall have and be able to demonstrate, effective control over the manufacture, inspection, testing, marking, and packaging of the certified product.

Certificate of Conformance

A document used in conjunction with a product compliance schedule, issued to an entity to declare that the processes and systems in place at the nominated premises, are able to consistently deliver a defined product as listed, in the product compliance schedule, that have been deemed to conform with the PAS-Mark Scheme and specified standard/s or another defined specification, as listed within the certificate of conformance and the product compliance schedule.

Conforming Product

Completed product which has been tested and approved as complying with a recognised National or International Standard, Specification or Industry Code and the requirements of the **CSi**, PAS-Mark Scheme – Rules and Requirements.

Critical Component

Any component of the finished product (following the standard) is dependent upon for safety and or performance.

Declaration of Conformity
The action by which a supplier declares under their sole responsibility, that a product is in conformity with a specific standard or other technical specification, without being under the procedures of a third-party certification system.

Design Freeze
Once the final product design has been, type tested and certified by **CSi** as compliant with the requirements of the standard and PAS-Mark Scheme – Rules & Requirements, none of the aspects of approved design, which may adversely affect compliance of the product with respect to the standard or other regulatory requirements, may be changed without the written approval **CSi**.

Evidence
Records, statements of fact or other information, relevant to the Business Review criteria and which are verifiable.
Note: Business Review Evidence can be qualitative or quantitative.

Licence Holder
The organisation whose legal identity has been granted the right to use the PAS-Mark on product or authorised marketing materials, which demonstrates compliance with a specified Product Standard. The Certificate Holder warrants the product complies with the PAS-Mark Scheme – Rules and Requirements and is responsible for the product in the marketplace.

The Certificate of Conformance Licence Holder may be the manufacturer of the product or their acknowledged agent.

Management Representative
A person nominated by the client at the manufacturing site having specific roles and responsibilities in relation to the PAS-Mark Scheme – Rules and requirements and standard, that covers an authority level to implement changes to existing processes ensuring that the products or service delivered is as required by the relevant applicable standard.

Quality Management System
A system to:

- Establish and document a set of principles and/or procedures according to which business activities are performed,
- An organised methodology for the definition of responsibilities and actions.

Quality Plan
Documentation setting out the specific quality practices, resources, and sequence of activities relevant to a particular product and its manufacture.

The quality plan should define, direct, and control an organisation with regards to product quality and conformance with specified criteria.

Non-Conformity Terms in use by **CSi**

Non-Conformity (NC) - Applies where there is a total or significant absence of the criteria for conformance of the management system, manufacturing process or product produced to conform with the Product Assessment Scheme, Product Standard or Technical Specification. A Non-Conformity requires immediate corrective action. Products shall not be produced and marked with any certification logo until the NC is closed out and verification of effective implementation of the NC is established. NC's are to be closed out by the agreed date, failure to implement changes identified/requested by **CSi** will result in an immediate suspension of an application or certification or termination of an application or certification.

Improvement Request (IR) - Applies where a non-conformity is observed in a particular requirement of the Product Assessment Scheme, Product Standard or Technical Specification which is likely to compromise compliance if no remedial action is taken to correct the non-conformity. IRs are to be closed out by the agreed date and verification of effective implementation of the IR is established, failure to implement changes identified/requested by **CSi** will result in the IR being raised to an NC. Certification can be recommended or maintained if the Client accepts the IR.

Observation (Obs) - Applies where the evidence presented indicates a requirement has been effectively implemented, but based on the auditor's experience and knowledge, additional effectiveness or robustness might be possible with a modified approach.

Product
The result of an act or process.

Recognised Test Report

- In Australia, a report produced by an establishment accredited for the relevant standards by the National Association of Testing Authorities (NATA). In New Zealand a report produced by an establishment accredited for the relevant standards by the International Accreditation New Zealand (IANZ).
- Test reports from overseas accreditation establishment are acceptable provided they have in place a Mutual Recognition Agreement, ILAC, MRA, IEC accredited laboratories. The report should be endorsed with the respective logo of the accreditation body.
- A CB test report and certificate issued under the IECEE CB Scheme.
- A report from a testing establishment which has been included as part of a test report from a, NATA, IANZ, ILAC MRA signatory, IEC member accredited laboratory that is accredited for the standards and test concerned in their scope of accreditation.
- A report that has been produced under the supervision of **CSi**.
- A report which has been issued within the last five (5) years, prior to the date of application for product certification. Demonstrates conformance to the current standard, relevant technical specification.

Regulator Authority/Body
An Australian or New Zealand, State, Territory or Commonwealth Government body exercising jurisdiction over product compliance requirements.

Remote Surveillance Review
A Remote Surveillance Review is normally planned to be conducted in years 2 and 4 of the certification term of 5 years.

The Remote Surveillance Review may encompass a review of any combination of the following:

- Batch release testing and record keeping.
- Product complaints
- Product non-conformities
- Compliance with the quality plan
- Compliance with the product standard
- Changes to the product standard or PAS-Mark Scheme – Rules & Requirements
- Maintenance of Calibration, Training and Management Review records
- Compliance marking

These activities shall be performed in accordance with **CSi** document, PASF-043, via a combination of electronic submission of documented records, video conferencing, telephone communications or other means of digital information transmission.

Subcontractor
A Subcontractor is any person or manufacturing organisation undertaking work on, or production of, any sub-assembly or component parts of the certified product in accordance with specific requirements of the client.

Standard
The PAS-Mark-Scheme "shall only be offered in respect of a standard that:

1. is produced by a national standards body, ISO, IEC, or another international standard making body that is recognised by the World Trade Organisation; where that body regards the standard[1] as being appropriate for accredited certification; or

2. is used by a national or State regulatory authority in a regulatory context and is regarded by them as being a standard that is appropriate for accredited certification[2]; or

3. is a standard that meets the following criteria:

   - has been developed with the participation of technically competent representatives of interested parties or has been subjected to formal review by such parties and subsequently revised as appropriate.
   - is such that it is possible to assess whether an applicant complies.
   - has credibility with industry, appropriate regulatory authorities, and relevant professional groups.
   - is periodically reviewed and updated with the involvement of representatives of interested parties.
   - is publicly available for implementation without restriction by number or membership or other limitation[3].

Notes

1 In this context the term "standard" includes an interim standard.

2 In such cases, the scope of accreditation of a certification body would normally refer to the regulatory authority or authorities concerned.

3 The levying of a reasonable fee for the purchase of the standard would not be regarded as a restriction or limitation, but, for example, the imposition of a fee as a condition of the implementation of the standard would be likely to be regarded as such."

Surveillance

As a minimum a desktop review of:

- Product Quality Plan compliance with the applicable standard.
- No change to design, material, manufacturing process or location.
- Production batch test results.
- Complaints – Product non-conformities.
- Marking the product and/or packaging with the Pas-Mark
- Claims associated with the product.
- installation instructions.

The above activities are intended to confirm the manufactured product continues to comply with the relevant product standard and regulatory requirements.

Technical Documentation
Documentation that enables the conformity of the product to be assessed against the requirements of the standard(s). It shall, to the extent necessary for such assessment, cover the design, manufacture and operation of the product and would typically include:

- a general type-description.
- design and manufacturing drawings and layouts of components, sub-assemblies, circuits, etc.,
- a list of critical components.
- detailed colour photographs.
- a list of standards referred to in the design of the product, applied in full or in part, and descriptions of the solutions adopted to meet the requirements of the Standards.
- results of design calculations made, examinations carried out, etc.
- labelling, packaging and instructions for use, care, installation, and maintenance.
- recognised test report.

Technical Specification
A document issued by **CSi** that defines inspection and testing requirements for Certified Products manufactured to comply with the specified standard.
(Refer to **CSi** document, PASTS-General Requirements).

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Appendix A: Cross reference of this document against, ISO 9001:2015

Management System Responsibility	
PAS-001	**ISO 9001:2015**
Documentation Requirements	4.2 Documentation information 4.4 Quality management system and its processes 5.1.1 Leadership and commitment for quality management 5.2 Quality Policy 5.3 Organisational roles, responsibilities, and authorities 6. Planning for quality management system 6.2 Quality objectives and planning to achieve them. 7.5.1 General 7.5.2 Creating and updating. 7.5.3 Control of document information
Record Management	4.2 Documentation information
Statutory and Regulatory Requirements	4.1 Understanding the organisation and its context. 4.2 Understanding the needs and expectations of interested parties. 4.3 Determining the scope of the quality management system
Internal Audits and Management Reviews	9.2 Internal audit
Purchasing	8.4.1 General 8.4 Control of externally provided products and services. 8.4.2 Type and extent of control of external provision 8.4.3 Information for external providers
Management Review & Customer Focus	5.1.2 Customer focus 7.1.6 Organisational knowledge 9.3 Management review
Product Compliance	
Infrastructure, Work Environment	7.1.3 Infrastructure 7.1.4 Environment for the operation of processes
Resource Management	7 Support 7.1 Resources 7.1.1 General 7.1.2 People 7.2 Competence 7.3 Awareness 7.4 Communication
Design & Development	8.3 Design and development of product services 8.3.2 Design and development planning 8.3.3 Design and development inputs 8.3.4 Design and development controls 8.3.5 Design and development outputs 8.3.6 Design and development changes 8.5.6 Control of changes
Quality Control	6.1 Actions to address risks and opportunities. 9.1 Monitoring measurement, analysis, and evaluation 9.1.1 General 9.1.2 Customer satisfaction 9.1.3 Analysis and evaluation
Verification of Purchased Product	8.4.2 Type and extent of control of external provision 8.6 Release of product and services
Customer Supplied Product	8.5.3 Property belonging to customers or external providers
Identification & Traceability	8.5.2 Identification and traceability
Production Inspection & Testing	8.5.1 Control of production and service provision 8.5.5 Post-delivery activities
Control of Non-Conforming Product	8.5.2 Identification and traceability
Corrective Action	10.2 Nonconformity and Corrective Action
Measurement, Analysis and improvement	9.1 Monitoring, measurement, analysis and evaluation
Inspection Measuring & Test Equipment	7.1.5 Monitoring and measuring resources
Preservation of Product	8.5.4 Preservation

Appendix B: Typical Scope of a Business Review

The Account Manager may review the following areas in administration, production, and quality control at the manufacturing site against the Product Assessment Scheme- PAS-001, Rules & Requirements, and applicable product standard during each on-site Business Review.

Incoming Goods

- ✓ Approved supplier's names
- ✓ Product types/codes/descriptions
- ✓ Incoming goods verification/acceptance, certificates of conformity, documentation
- ✓ Verification of customer supplied products.
- ✓ Quarantine of non-conforming product
- ✓ Safe storage of incoming goods to prevent damage.
- ✓ Handling of incoming goods (cranes, forklift, racking)
- ✓ Work instructions/procedures for the area
- ✓ Names of persons interviewed to cross check training records.
- ✓ Operators appropriately dressed in safety clothing/equipment for area.
- ✓ Unsafe working conditions (electrical/air hoses on ground, pits uncovered, noise, rubbish on floor etc)
- ✓ Inspection and approval of incoming goods for release into production

In process manufacturing

- ✓ Suitability of the infrastructure, working environment to manufacture compliant product.
- ✓ Work order documentation, (as a minimum contains details on; customer name, contact name, date of order, purchase order number, quantity, sizes, delivery address, delivery date, batch, or work order number)
- ✓ Traceability of customer orders (are component pieces identified individually/by batch)
- ✓ Each manufacturing process clearly identified and signed off when inspected, completed.
- ✓ Non-conforming product identification, segregation, appraisal, re-work, release, disposal
- ✓ Operators competent and appropriately trained, have access to documentation such as work instructions, records, dressed in suitable safety clothing/equipment for area.
- ✓ Work environment managed to achieve conformity of certified product in accordance with the nominated standard.
- ✓ Unsafe working conditions (electrical/air hoses on ground, pits uncovered, noise, rubbish on floor etc)
- ✓ Application of compliance marking in accordance with the standard
- ✓ Product quality control, inspection, batch testing, batch test reports
- ✓ Standards, technical specifications in use by company
- ✓ Maintenance of plant and equipment
- ✓ Functional check of calibration equipment
- ✓ Operators able to demonstrate skills, knowledge, experience in their duties.
- ✓ Names of persons interviewed to cross check training records.

Despatch

- ✓ Identification of customer order on completed components.
- ✓ Packaging of finished product
- ✓ Delivery documentation
- ✓ Checklist, verification of finished goods prior to shipping
- ✓ Transportation of finished goods
- ✓ Names of persons interviewed to cross check training records.

Administration/Management

- ✓ Operational plan available to demonstrate management of the processes.
- ✓ Raw material specifications from suppliers
- ✓ Annual review of suppliers
- ✓ Design & development of products, including the certified product.
- ✓ Purchasing process
- ✓ Documented Quality Management System (implementation, maintenance, improvement off) Procedures or work instructions in compliance with the Product Assessment Scheme
- ✓ Management Review Meeting Minutes
- ✓ Archiving of records in compliance with the Product Assessment Scheme
- ✓ Management System and document control
- ✓ Changes to management system or standards that may affect compliance with the Product Assessment Scheme

- ✓ Changes to company registered name, trading name, management representative.
- ✓ Recall Procedure
- ✓ Computer data backup
- ✓ Review of records
- ✓ Internal Audits
- ✓ Customer complaints, market surveillance by company. Procedure for a product recall in place.
- ✓ Calibration records
- ✓ Changes to management structure, manufacturing location, use of sub-contractors, evaluation of sub-contractors, raw material suppliers, certified product.
- ✓ Training records of employees

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Appendix C: PAS-Mark Scheme – Declaration of Conformity

PAS-Mark Scheme – Rules & Requirements
DECLARATION of CONFORMITY

Client Company Name:	
Trading Name:	
Manufacturing Site Address:	
Contact Person:	
Phone:	
Email:	
CSi-ID Number:	
CSi Licence Number:	
Standard No/s:	

1. Read the questions.
2. Make a response by ticking a box ☐ **Yes** ☐ **No** ☐ **N/A**
3. Make a comment if required using the ID number of the column, for clarification of your response.

1	The client agrees to implement and maintain a Quality Plan or Quality Management System, and at all times, comply with the stated requirements of the PAS-Mark Scheme – Rules & Requirements, and the certified Standard/s.	**Yes:** ☐	**No:** ☐	N/A: ☐
2	The client confirms there has been no change to the certified Product, Design, Materials, Manufacturing process or Manufacturing Location.	**Yes:** ☐	**No:** ☐	N/A: ☐
3	Compliance marking, called up by the applicable standard, and CSi PAS-Mark are applied to the certified product and/or packaging materials and are clearly visible and legible.	**Yes:** ☐	**No:** ☐	N/A: ☐
4	The client maintains a current copy or has access to the, CSi PAS-Mark Scheme documents, PAS-001, PAS-002, PAS-003 and the applicable product standard/s.	**Yes:** ☐	**No:** ☐	N/A: ☐
5	The client maintains, Type and Batch release test results/records, and all records relating to, Calibration, Approved Suppliers, Training, Internal audits, Work Order Traceability, Design, Complaints and Product Recalls.	**Yes:** ☐	**No:** ☐	N/A: ☐
6	The Business Review Report Findings were discussed with the company management during the business review and acknowledged and accepted by management. These findings will be actioned and reported CSi.	**Yes:** ☐	**No:** ☐	N/A: ☐
7	The client maintains and provides where required, specifications on Installation, Commissioning or Scope of use.	**Yes:** ☐	**No:** ☐	N/A: ☐

Placing a tick ☒ in the N/A box means the statement, or part of the statement, is not appliable to the certified product. This will be verified by CSi after reviewing your comment/s below. (if any)

Comments in relation to Items 1 to 6 above?

ID No.	

EXECUTED as an agreement on.	**Day**	**Month**	**Year**

By:

Signature:	**Print Name:**

Position:

Duly authorised to sign off on behalf of the Client.

Appendix D: Guide to the Requirements of a Quality Plan

A quality plan is a document that summarises the processes a company has in place to ensure their product consistently complies with the applicable product standard, technical specification.

Typically, a quality plan would address the following as a minimum.

Organisational Chart	An organisational chart graphically represents an organisation's structure, highlighting the different jobs, departments, and responsibilities that connect the company's employees to each other and to the management team.
Quality Policy	A Quality Policy is a documents developed by the top management with respect to quality that includes the overall intentions, objectives, and directions of the organisation.
Quality plan inputs	Requirements specified by the customer. Statutory and regulatory requirements related to the product. Product Specifications – Drawings – Scope/Instructions for use
Nominated Management Representative	A position description for a nominated management representative and deputy management representative. (*Refer to Section 7.1.7 for further details*).
Document Control	Documentation required by or referenced in the quality plan which shall be controlled. (*Refer to Section 7.3 for further details*).
Record Control	The controls put in place to identify, store, protect, retrieve, and dispose of records. (*Refer to Section 7.4 for further details*).
Management Review	Management shall define the boundaries and applicability of their management system and shall review the organisations management and production systems at planned intervals. (*Refer to Section 7.8 for further details*).
Provision of Resources (Material, human, infrastructure)	Management shall ensure purchased components; materials and services comply with specified purchase requirements and relevant standard. (*Refer Section 8.5 for further details*). Resource management shall ensure personnel are competent and suitably trained in processes or operations which have a significant influence on the compliance of the product to the standard, its safety or performance. (*Refer to Section 8.2 for further details*). Management shall define and maintain the infrastructure required for the realisation of compliant product. (*Refer to Section 8.2 for further details*).
Identification and traceability, product compliance marking	Management shall establish and maintain documentation to ensure that a certified product is traceable at any stage of its life cycle that is in direct influence or control of the organisation. Certified product compliance markings may be applied by stamping, etching, printing, casting, moulding or by other means onto the product. The completed marking shall be inspected at regular intervals to ensure it is readable. (*Refer to Section 8.7 for further details*).
Internal audits	Management shall plan and conduct internal audits to ensure the administrative and production systems in place are suitable, adequate, and effective in complying with planned arrangements and are properly implemented and maintained. (*Refer to Section 7.6 for further details*).
Corrective – Preventive Actions	Corrective and preventive action consists of improvements to an organisation's processes taken to eliminate causes of non-conformities or other undesirable situations.
Calibration of equipment	Monitoring, inspection measuring and test equipment, used in determining the compliance of the product to the standard shall be calibrated at specified intervals and subject to an operational check prior to use. (*Refer to Section 8.12 for further details*).
Product batch testing and release	The organisation shall document the frequency it undertakes production batch release testing and reporting in accordance with the product standard, technical specification.

A process flowchart	Clearly shows all major steps in the administrative and manufacturing processes related to the certified product. Clearly identifies all inspection and testing processes from incoming goods through to final inspection & testing. Clearly identifies any part of the processes that is sub-contracted off-site. Shows specific references to quality system documentation such as procedures, work instructions, inspection, and test reports. May include a legend of symbols or terms used in the document.

Further advice on the structure of a quality plan can be obtained from the international standard,

- ISO 10005 Quality Management – Guidelines for quality plans

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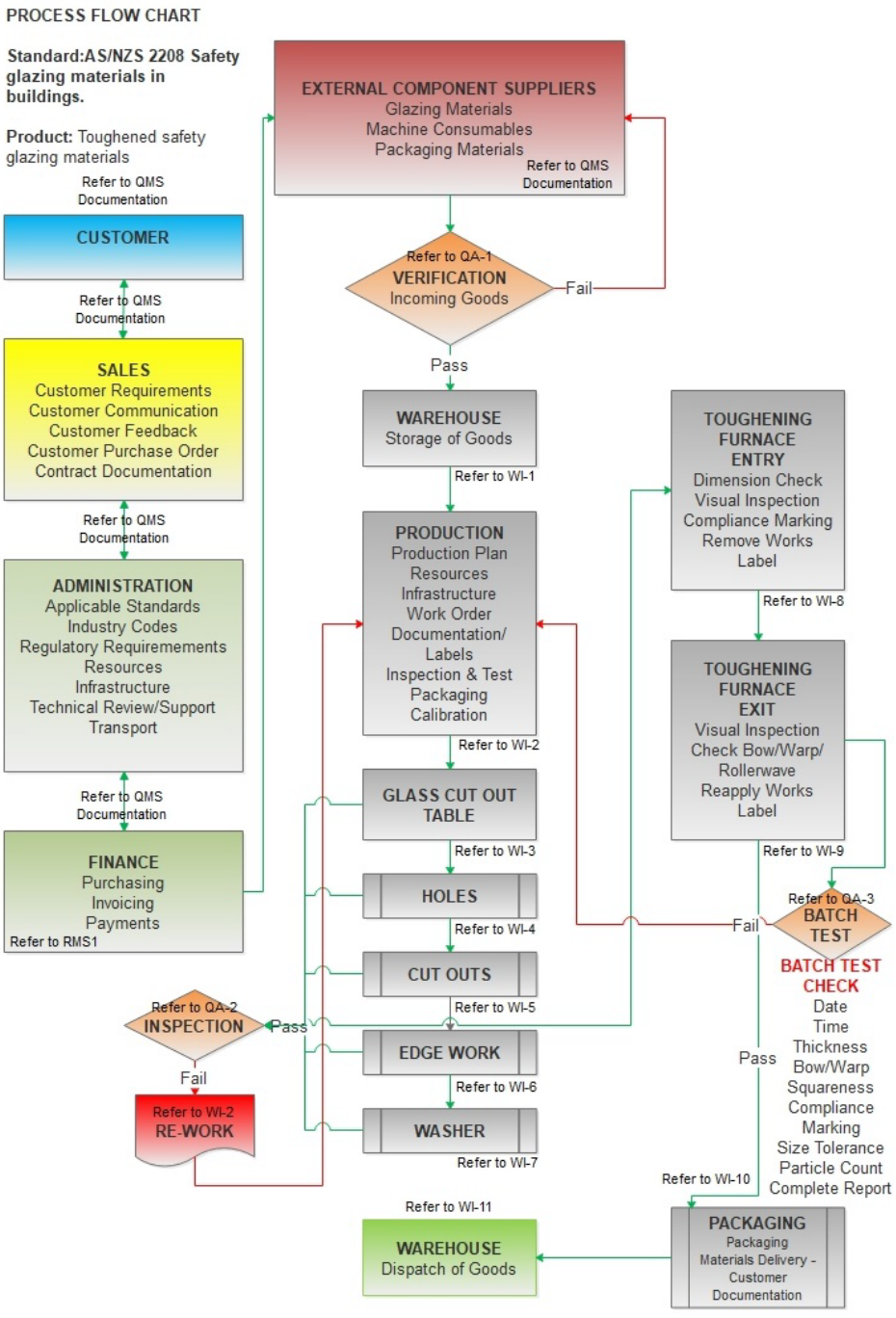
Appendix E: Process Flowchart Example



Process Flowchart for the Production of Toughened Safety Glazing Materials	**Drawn by:**	**X**		**CODES**	**QMS**	Quality management system documentation
	Checked by:	**X**			**QA**	Quality audit
	Approved by:	**X**			**WI**	Work instruction
SAFETY GLAZING PTY LTD	**Issue No.**	**X**				
	Revision No.	**X**				

Appendix F: Guidelines for Product Testing

CSi Product and Type Approval certification schemes require testing or inspection of the product to ensure compliance with the applicable product standard, technical specification, or industry code.

An applicant or client of **CSi** has the right to chooses a suitable test laboratory, it must however be a recognised test laboratory capable of conducting the required testing, and acceptable to **CSi**.

The purpose of this guideline is to ensure that while the testing contract is between the applicant/client and the test laboratory, the product sample selection and testing is conducted in a manner that satisfies the requirements of the PAS-Mark Scheme.

Process	Applicant - Client	Recognised Test Laboratory	CSi
Product test plan.	Select the recognised test laboratory.	Provide advice on scope of laboratory accreditation.	Verify laboratory is recognised (NATA, IANZ, ILAC Accredited) for the tests required to be undertaken.
	Determine with **CSi** the number of test samples required and method of selection.		
	Define product test groups, testing to be undertaken on the worst-case scenario product/group.	Provide advice on selection of product for testing.	
	Establish from the standard the tests that need to be completed for the product/group.	Confirm required tests to be undertaken.	
	Confirm test plan with **CSi**.		Acceptance of test plan.
	Confirm selection of test laboratory. *Should there be no recognised test laboratory available for a particular standard consult with* **CSi** *for possible alternative test facilities.*	Agree with **CSi** on required test report format	Acceptance of test report format.
Test sample selection	Undertake a production run of product which shall be identical to the certified product, Select and identify test samples.		Production and testing of a prototype/s is acceptable, (refer to Section 6.1 for conditions)
	Arrange delivery of the test samples to the test laboratory.	Confirm test samples received are those selected and approved by **CSi**.	
		Undertake testing in accordance with the product standard requirements. And ISO/IEC Guide 17025 requirements.	Testing must be conducted and reported on samples received.
Test report		Laboratory to send complete, original report to Applicant/Client.	
	Verified copy of the original test report to be sent to **CSi**.		
Evaluation of product compliance		Provide any technical advice sought from **CSi** or the applicant/client	**CSi** to evaluate and verify compliance of the testing undertaken with the stated requirements of the product standard.
			CSi make decision on compliance and acceptance of test report and notify applicant/client.

PAS-Mark
Product Conformance

Inspired locally, desired globally.

It’s all about innovation and excellence in client service delivery.

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