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Certification Programs

Global Certification Pty Ltd are accredited by JAS-ANZ to offer the following Management System Certifications

- ISO 9001:2015 Quality
- ISO 14001:2015 Environmental
- AS/NZS 4801:2001 Occupational Health and Safety
- OHSAS 18001:2007 and ISO 45001:2018 Occupational Health and Safety

In addition, we also offer Product certification under JAS-ANZ accreditation. These are found under Product Certification.

A number of other programs are offered without JAS-ANZ accreditation These are:

- AS/NZS ISO 31000:2009 Risk Management Systems
- ISO 22000:2018 GC Food HACCP

Certification services are provided mainland Australia and Pacific Rim Countries. Where travel is involved it will be invoiced at cost plus 10%.

Business Imperatives

There are many reasons for becoming certified to any or all the above standards. The major reason for wanting to improve the quality of your service is to ensure that your customers are satisfied and will continue to use your company as a supplier. Global Certification Pty Ltd's (GC) aim is to assist you in this process by means of third party certification to the above and other standards and normative documents and government and Industry codes.

Certification provides:

- Increasing credibility in the marketplace
- A number of tenders require certification to be qualified to tender. (Its your playing card to get you on the field.)
- Concentrating on critical issues to the business, improving the knowledge of the business performance
- Reducing operational failures and consequent rework and cutting the cost of providing the goods or service
- Preventing potential problems through trending techniques that are fundamental in the review process

Certification System Requirements

Your management decides on the company's policies and objectives and resource allocation, how it will achieve them, and who will have the responsibilities and authorities for ensuring they are achieved.

A system of documentation is then designed to ensure uniform implementation of these policies and objectives. Documentation would include a system manual outlining the policies as they relate to the various elements of the various standards and incorporating or referencing procedures, which detail the work processes involved in achieving the policies and objectives. The manual and procedures would be supported by records of the finished processes. They might be further supported by specific work instructions, or plans for specific projects. They may be in electronic format, hard copy of in a fully Integrated System Database.

Once the documentation is in place and the procedures are implemented, a comprehensive internal audit and review of the system is conducted to make sure that it accords with the standard, that the system is suitable for achieving the objectives and targets and your company is actually following its procedures as documented.
At this point you are ready to commence the process for certification by a third party.

The Certification Process

First of all, you choose a third party certification body, such as Global Certification International (GC) to conduct your assessment. When choosing the Certification Body, remember that the Company is embarking on a process of continual improvement in a controlled fashion. Please fill out the Contract/application form attached to apply to Global Certification for certification.

The following describes the process step by step through to certification against relevant chosen standard:

1. **Initial Contact, Quote and Contract / Application and Review**

   Following the receipt of your Contract/application for certification, GC will conduct a review of your information to ensure that:
   - The information about you and your management system is sufficient to conduct the assessments necessary to grant certification against the desired standards;
   - The requirements for certification are clearly defined and documented, and have been provided to you;
   - Any known difference in understanding between GC and yourselves is resolved;
   - GC has the required skilled auditors available to perform the certification activity in the time frame agreed as per the standard times;
   - The scope of certification sought. This includes the assignment of NACE and other codes that may be applicable to your activity, the location(s) of your operations, time required to complete audits and any other points influencing the certification activity are taken into account (language, safety conditions, threats to impartiality etc.); Note: - NACE codes are used by the industry to match the experience of our auditors with the work conducted by your organisation.
   - A file will be created justifying GC's decision to proceed to the certification audit stage 1.

   Based on this initial review GC will assign an audit team to your certification activity.
   The Initial Certification audit is a two stage assessment. It involves what is termed a stage 1 audit and a stage 2 audit. During these audits, the audit team would appreciate a quiet area to review its findings and prepare for either the next audit activity and/or write up any corrective actions and summary report for presentation to senior management at any close out meeting.

2. **Stage One Assessment**

   GC will then arrange the Stage 1 audit. Normally, this will involve an on site visit to your operations. However, it is possible to conduct most of this process remotely by providing information either in hard copy or using electronic means such as video conferencing for interviewing key staff, access to your documented system, internal audits and reviews and web site information if these are available.

   At the Stage 1 audit the following will occur:
   - An audit of your management system documentation against the standards being sought. This assessment will be used in Stage two as a template for the review of your systems implementation and effectiveness. In other words, the document review shows how the standard is met by your system and the stage two assessment is designed to find out your compliance to your own system;
   - An evaluation of your site location and site specific conditions and to undertake discussions with your personnel to determine your preparedness for the stage 2 audit;
   - A review of your status and understanding regarding the requirements of the standard, in particular with respect to the identification of key performance or significant aspects, processes, objectives and operation of the management system;
   - Collection of necessary information regarding the scope of your management system, processes and location(s), and related statutory and regulatory aspects and compliance (e.g. quality, environmental, OH&S, legal aspects of your operation and associated risks;
   - Checking of any license/permit requirements;
   - Checking records (including records of incidents, breaches of regulation or legislation and relevant correspondence with Authorities) on which you based your assessment of compliance with regulatory requirements;
   - Checking records of any Quality, EMS, OH&S, Product or HACCP related communications received and any actions taken in response to them;
   - Reviewing the allocation of our resources for the stage 2 audit and agree the details of this audit with you;
   - Provide a focus for planning the stage 2 audit by gaining a sufficient understanding of your management system and site operations in the context of possible significant aspects;
   - Evaluate if the internal audits and management review are being planned and performed, and that the level of implementation of the management system substantiates that you are ready for the stage 2 audit.

Following the completion of the Stage 1 audit, the audit team will analyse all the information and audit evidence gathered during Stage 1 and provide a report which will include any areas of concern that could lead to non-conformity during Stage 2.
Generally, GC will allow 10 working days between Stage 1 and Stage 2 audits. This timing will vary based upon the findings of the Stage 1 audit and your ability to resolve any areas of concern raised or the need to allocate different members to the audit team which may include varying their work schedule.

During the Stage 1 phase, GC may find that the audit team may require additional support to conduct the audit due to incomplete information in the evaluation. You may be charged additional fees should this be necessary. The Scope may also be varied at any time.
Where significant travel is involved in the audit process every attempt will be made to conduct as much as this audit as possible remotely and accommodate a short period between Stage 1 and Stage 2 audits. However, should significant issues be found that require attention or the scope of certification is found to be substantially different from that initially agreed, the Stage 2 audit may be delayed and a revised audit team assigned to cover the revised scope and NACE and other codes.

3. Stage Two Assessment

The next part of the process is the completion of the Stage 2 Audit. During the Stage 2 audit, you will be required to demonstrate compliance with the relevant Standard (e.g. ISO 9001, ISO 14001, AS/NZS 4801, AS/NZS1546.1) and your own system. GC auditor(s) will examine practices, audit documentation and question staff members. This is, in fact, substantiation of the practical application of the manual and other supporting documentation referenced in that manual and will include at least the following:

- Information and evidence about conformity to all requirements of the applicable system standard or other normative document;
- Identification of hazards and subsequent determination of their significance. This also includes the criteria by which the organization identifies the hazards and their associated risks and the procedures developed;
- Assessment of the adequacy of the procedures by which you identify and manage hazards and control risks;
- Hazards are not necessarily confined to a single geographical location;
- They may also include other aspects of an organization's activities, products or services that it can control and over which it can be expected to have an influence. These may include work of-site or the activities of organizations, contractors and sub-contractors, customers or related organizations that create additional hazards for the organization's staff;
- If a hazard is identified, it shall be managed within the system;
- Check any inconsistency between the policy, objectives and targets and its procedures and or implementation of them;
- Objectives and targets derived from the evaluation process;
- Performance monitoring, measuring, reporting and reviewing against key performance objectives and targets (consistent with the expectations in the applicable management system standard or other normative document);
- Your management system and performance as regards legal compliance;
- Interested Parties and Employee consultation and ongoing involvement;
- Internal auditing and management review;
- Management responsibility for your policies;
- Links between the normative requirements, policy, performance objectives and targets (consistent with the expectations in the applicable management system standard or other normative document), any applicable legal requirements, responsibilities, competence of personnel, operations, procedures, performance data and internal audit findings and conclusions; and
- Ability to control risks as demonstrated by implementing systems that adequately address their complete range of hazards if applicable to the standard being assessed.

Note: If, during the course of the assessment, it becomes obvious that there are major deficiencies that would prevent certification, the applicant will be given the option whether the audit should be continued or discontinued at that time. At the conclusion of the audit, the GC auditor(s) will analyse their findings and present the findings of the audit to your senior management at an exit interview together with a Summary Report. This will include notification of any corrective actions required before certification can be granted and recommendations for improvements.

The auditor or audit team will report their finding back to GC in the form of a full report which will include:

- Their recommendations as discussed with you at the close out meeting:
- Any corrections and corrective actions taken by yourselves to overcome any deficiencies found;

- Confirmation that the information provided by you to GC in your Contract/application and its review;
- A recommendation whether or not to grant certification, together with any conditions or observations.

The report will take the format of a continuum. That is, each report will build on the previous report. The Report will always include a summary page where we will communicate the key findings of the assessment and action points required. The next section covers the special audit requirements and their findings necessary for us to enable Certification to be granted. In this section, you will find the results of the initial stage one assessment, stage two specific details and in the case of recertification a three yearly review. Where the Scope of certification is modified it will be reported in this area. The third part of the report is in a tabular form with the standard presented on the left and the columns to the right showing the various audit stages.

The Document Review will define how the standard is covered by your system with key references of your system included. It may also have some questions placed in it that the auditor may use at the assessment and subsequent audits. The next column covers the findings of the 2nd stage assessment against the standard and your system implementation and effectiveness. The next columns cover the surveillance audits and then the re-assessment. At the bottom of these columns you will find the sign off details and approvals. The fourth part covers a log of the corrective actions found for the life of the certificate and their close out times and details.

Follow-up

Should corrective actions to correct any major non-compliances be required, these should be carried out within a mutually agreed period. A supplementary visit may be involved to close-out the corrective actions.

4. Audit findings Classifications

The following classifications are used during auditing to indicate compliance against the auditing criteria of: -

- Satisfactory S
- Observation O
- Not Applicable NA

- Category A Corrective Action Request (Major)

  The absence of or the failure to implement and maintain, one or more required management system elements, or a situation which would, on the basis of available objective evidence raise significant doubt as to the quality of what the supplier is supplying. Maximum of three months to close out, and a maximum of one month to respond on actions to be taken, however, major corrective actions raised at re-certification must be closed prior to the expiry date on the existing certificate. Otherwise a complete assessment audit will be conducted.

- Category B Corrective Action Request (Minor)

  This applies where minor non-conformance(s) is observed in a particular requirement clause. It may indicate a spasmodic breakdown in the implementation of a procedure(s) or the partial breakdown of the procedures. The close-out date will be at the discretion of the auditor.

Where Major Corrective actions are raised, failure to comply with the requirements for close out mentioned above will result in suspension / cancellation of certification unless, due to special circumstances, dispensation is granted by the Board of Global Certification.

5. Certification Decision and Certificates

Following successful close-out of any Major Non-conformances, a recommendation for approval and review by a Certification Panel Member and payment of all fees due, certification will normally be granted. The date of granting certification will be following the certification decision which is taken by a Certification panel member. This will be completed by the issue of a "Certificate of Registration", listing in the GC Register of Certificated Companies in respect of the goods produced or services offered by the organization. Once accredited the certification will be notified to the Joint Accreditation System - Australia and New Zealand for listing in the register and/or other applicable registers. The JAS-ANZ register is updated as required and is available on the JAS-ANZ web site, which will be linked to our web site www.globalcertification.com.au.

Certificates of Registration for: -

a. Management Systems are valid for a period of three (3) years
b. Product Certification Programs are valid for Five (5) years
c. Food Safety HACCP certification is valid for one (1) year.

During this time, an organisation is responsible for:

- Observance of GC's Contract Conditions;
- Continuing compliance with the relevant System Standard;
- Notifying GC of any significant Quality, EMS, OH&S, health, or Food Safety incidents, breaches of regulation or legislation and relevant correspondence with Authorities as soon as possible after the event;
- Implementing regular self-audits and reviews of the System;
- Agreeing to and paying for surveillance audits during the life of the certificate as required Global Certification Pty Ltd which will normally require a visit six monthly in the first instance;
- For a number of certifications, for example product certification such as AS/NZS 1546.3 requires that unannounced audits will also be conducted during the life of the certificate. These will be charged at the normal rate prevailing at the time. These audits equate to 10% of the total clients at a minimum;
- Notifying GC of any significant changes in the organizational structure of the System which may impact on the original certification;
- Maintaining a record of all complaints, remedial actions relative to the products or services and improvement activities covered by the scope of certification;
- Ensuring the customer is notified of any goods or services provided outside of the registered certification scope; and
- Records of any significant system related communications received and any actions taken to respond to them.

6. Certificate Maintenance, Surveillance Assessments

GC will arrange periodic visits for the purpose of surveillance of an organization's System at approximately 6 monthly intervals for large organizations or high risk processes, or at some other frequency as agreed with the company provided that, the interval between such visits is in no case more than 12 months which will usually be applied to smaller companies and low risk processes. In particular, the first surveillance audit must take place within the first 12 months after the conclusion of the Stage 2 audit completion date. Each visit will concentrate only on certain aspects of the system to ensure continuing compliance with the relevant standard. The visits will be agreed at the time of the audit and the agreed next audit date and expected duration be recorded on the summary Report.

Surveillance activities during the life of the certification may include the following:

- On-site audits assessing your management system's fulfillment of specified requirements with respect to the standard to which the certification is granted;
- Enquiries by GC to you on various aspects of your certification;
- Requests for you to provide documents and records (on paper or electronic media);
- Reviewing any statements that you have made with respect to your operations (e.g. promotional material, web site); and
- Follow up on any of your customer complaints or information.

The Surveillance Audits are on site audits but are not necessarily full system audits. Where multi-site certification is applicable they will normally be full system audits for the activities at the applicable site plus a head office audit to review the management system. The surveillance audits are planned together with other surveillance activities so that GC can maintain confidence that the certified system continues to fulfill requirements between recertification audits.

The surveillance audit program will include the following at each audit:

- Internal audits and management review;
- A review of actions taken on non-conformities identified during the previous audit;
- Treatment of complaints;
- Effectiveness of the management system with regard to achieving your objectives and targets;
- Progress of planned activities aimed at continual improvement;
- Continuing operational control;
- Review of any changes, and
- Use of marks and/or any other claim to certification.

Even though GC recognises that certification maintenance may be based on a positive conclusion by the audit team leader without further independent review, as the process is only permitted if no corrective actions are raised and a competent person needs to be involved in the on-going review of their maintenance over the certification cycle, GC will complete an independent review for each surveillance audit, regardless of the outcome.

7. Re-Certification and Continuing Registration

For continuation within GC's scheme of certification, a company will be requested to complete the contract/application form for certification and will be subjected to a review of the previous three years of certification. This shall be reported in a three year review which is in the format as a risk assessment or in some instances a stage 1 audit. The recertification audits will be planned and conducted prior to the completion of the three year certification period to evaluate the continued fulfillment of all the requirements of the relevant management standard or other normative document. The purpose of the recertification audit is to confirm the continued conformity and effectiveness of the system as a whole and its continued relevance and applicability for the scope of certification. The time taken for these assessments is usually two thirds of the original assessment times. However, this may vary due to the growth or change of scope and size of the Organisation at the time of recertification.

In the case of multiple sites, or certification to multiple management system standards being provided by GC, the planning for the audit shall ensure adequate on-site audit coverage to provide confidence in the certification. Hence the application for renewal will request current staff numbers at individual sites and the scope of activities at each of these sites to establish an effective audit plan.

The recertification audit will include an on-site audit that addresses the following:

- The effectiveness of the management system in its entirety considering internal and external changes and its continued relevance and applicability to the scope of certification;
- Demonstrated commitment to maintain the effectiveness and improvement of the management system to enhance overall performance;
- Whether the operation of your management system contributes to the achievement of your organization's policy and objectives;
- When during a recertification audit, major corrective actions are raised, these must be closed out prior to granting recertification. Failure to close these out prior to the end of the current recertification cycle may lead to suspension or cancellation of the certificate and a full new certification initial assessment being carried out to recertify your organization

Note: The decision to grant the renewal of certification are based on the results of the recertification audit, as well as the results of the review of the system over the period of certification and complaints received from users of your certification (your clients or interested parties).

8. Special, Short Notice Audits and Audits for variation of Scope

Special Audits may be conducted throughout the life of the certification cycle based on the need to vary scope, investigate complaints, response to changes, or as a follow up on suspended certificates.

Audits for Variations to Scope will normally be conducted in response to an application for extension to the scope of your certification that has already been granted. The process involves a review of the application which will determine any audit activities necessary to decide whether or not the extension may be granted. Often these are undertaken in conjunction with surveillance audits.

Short Notice Audits are conducted when GC are investigating complaints, in response to changes identified in our general surveillance activity or as a follow up on suspended certificates. This document serves as notice that we may need to complete these audits and that may be unannounced. In selecting the audit team for these audits, we will take care in including an auditor that has had no involvement with you previously as you will probably not have the opportunity to object to audit team members for short notice audits**.**

Reductions in scope are generally handled by correspondence between the yourselves and GC administration staff or at audit. Where changes are notified at audit, these shall be recorded on the Summary Report. Reductions in scope may also occur in parts of your organisation where GC find that there have been persistent and serious failure of that part of the Organisation to meet the certification requirements. Any such reduction shall be in line with the requirements of the standard used for certification.

Unannounced Audits The Client agrees to make their premises available to COMPANY auditors to conduct un-announced audits. These will be charged at the normal rate prevailing at the time. For Product Structural Certification, each year GC will select an organisation at a rate of 10% of the total Product Construction Certified Products for an unannounced audit. Performance Testing Certification unannounced audits equate to 25% of the total selected sites under product testing for the year as per the testing requirement outlined in GC166 This will

usually include product testing at the time. E.g. 1546.3:2008 grab samples form a household BOD_5, TSS, E coli would be tested. Concrete tank manufacture testing of the compressive strength side and top loading.

Product Certification

The scheme is called "The Domestic Wastewater Treatment Units (Septic Tanks) and Rainwater Tanks Scheme" which is accredited by JAS-ANZ and is designed to support the use of new and innovative products in the Waste and recycled water Industry, and collection for rain water systems to make these systems more reliable in use. Our aim under this scheme is to provide confidence to the Citizens of Australia and New Zealand and the various levels of Government in the products that GC certificate. Certificates are valid for 5 years.

In November 2012, it was found that there was some confusion with the various types of certification offered for products under our scheme, hence the scheme was broken up into two components: -

1. Product Structural Certification
2. Product Performance Testing Certification

The quality standard ISO 9001:2015 equivalent to AS/NZS ISO 9001:2016 certification or an evaluated quality plan is a pre-requisite standard for certification under the Scheme to ensure that the Product is produced consistently to the design criteria.

Prior to the commencement of the evaluation under the Product Performance Testing Certification, the manufacturer must obtain any approval criteria from the applicable State or territory where approval is sought and relay these requirements to Global Certification Pty Ltd. We will confirm these requirements and any special testing requirements and add these to the evaluation plan for the program concerned.

In addition to these the Client will be required to submit a full Company Product Plan for evaluation by GC and the Jurisdictions where the product is to be sold. Note: - the Plan must include a full product Description, Manufacturing Location and assembly locations, Structural Engineers Design Drawings and/or reports, Specifications, Manufacturing procedures and 9001 certificate or Quality Plan, a bill of materials, internal Product Testing Program and any manuals associated with the product, its use, installation warranted life and construction materials and their suitability for the intended use.

Sampling requirements

The Client agrees to make their premises available to COMPANY auditors to conduct un-announced audits. These will be charged at the normal rate prevailing at the time. For Product Structural Certification, each year GC will select products certified at a rate of 10% of the total Product Construction Certified Products for an unannounced audit. Performance Testing Certification unannounced audits equate to 25% of the total selected sites under product testing for the year as per the testing requirement outlined in GC166 and GC166a. This will usually include product testing at the time. E.g. AS/NZS 1546.3:2008, AS1546.3:2017, AS1546.4:2016 completed under SA MP 101:2017 or AS/NZS 1546.2:2008 grab samples from a household BOD_5, TSS, E coli would be tested. Concrete tank manufacture testing of the compressive strength side and top loading. The unannounced inspections and testing of product ensure that products being manufactured and sold continually meet the design and performance criteria. Certificates are valid for five years. The evaluation report shall clearly show the products assessed and tests conducted during this visit.

Raw Material or component suppliers: - Generally, where raw materials are obtained from a certified supplier, testing by the Client shall be monthly or 1 unit per 100 whichever is sooner.

Product Performance Testing.
Laboratory testing shall be conducted by a NATA registered laboratory or equivalent. On site testing is conducted by the sampler as per the Guidelines set in the Evaluation Plan.
Surveillance and re-certification testing shall be in accordance with a sampling procedure where a number of sites shall be tested at each audit to cover the effective sampling applied previously by Australian State Governments at their 5 year renewal cycle. This sampling is 1 unit per 10 units from 1 unit to 100 units installed, plus 1 additional unit for each additional 100 or part thereof installed. In order to equate this with a 12 monthly surveillance and 5 year recertification cycle, the following will apply to products certified under the product performance testing system:

- The total number of samples required is divided by five (i.e. Total units installed 4000 = 10+39= 49/5=10 units)
- The service history of the selected units shall be assessed.
- The sites shall be selected from a list of all units installed. 25% of these must be randomly selected.

Where Government Testing has been conducted under their requirements provision of a report to GC providing the results will satisfy this requirement.

The assessment shall include an evaluation of all company quality system elements for effective implementation of Product standard requirements.
The assessment team shall provide a full report to the Company on the operation audited using the applicable standards and/or Normative Reference Documents in accordance with the requirements of ISO/IEC17065:2012, within ten days of each evaluation unless otherwise agreed by the Company. Assessors shall identify opportunities for improvement, as these become evident during the evaluation without recommending specific solutions. These opportunities shall be included in the report to the company.
Over a number of years, it has been established that On-site sewerage facilities require the user (householder) of these products to have a knowledge of the waste materials and cleaning agents able to be discharged into waste water treatment systems. Accordingly, the products must include operating manuals and maintenance procedures to ensure satisfactory performance. Indeed, these units appear to work very effectively if properly serviced and used in accordance with manufacturers recommendations.

Various State Governments require operation and maintenance procedures to be set out for all aspects of the on-site sewerage facility by the designer, manufacturer and/or facility builder. For example, Queensland require that procedures should be in place to ensure that:

- Operation and maintenance guidelines are available to all owners and users of an on-site sewerage facility;
- Operation and maintenance procedures are undertaken to a regular schedule appropriate to the nature and type of treatment and land application facility, and in accordance with any manufacturer's/facility builder's instructions;
- Continuity of operation and maintenance is achieved throughout changes of ownership, occupier and/or use or development of the site. Refer to AS/NZS 1547:2008; and
- Owners of on-site sewerage facilities must hold a maintenance contract for the plant in accordance with the plant requirements.

Each on-site evaluation by GC shall include a review of:
- Customer complaints and company response;
- Supplier internal audit and management review results and actions;
- Compliance to the Standard or normative reference certified;
- Review of the Company Product Plan held by GC against the Product and the current Product Plan on site and a review of all jurisdictions where the product is accredited for inclusion in GC 174 Register of Certified Product Plans to enable any changes made to be notified to the Jurisdictions concerned;
- Adherence to GC application/contract conditions;
- Correct use of JAS-ANZ and GC's symbols and Certification Marks or Trademarks;
- Adherence to providing units which meet the design specifications and performance;
- Use of qualified, licensed, competent persons to install the units; and
- Review of Servicing of installed products during each evaluation if applicable.

The Scheme permits the use of the Certificate Number and Global Certification Pty Ltd certification mark on a product or system listed in the respective Certificate of Conformity, providing reliable evidence confirming a manufacturer's compliance with the requirements of the Scheme, and operation under the Application /Contract conditions of use. The conditions apply under our JAS-ANZ accreditation for Product Certification and are found in Appendix 2 of GC002 Contract/Application Form for Certification/Re-Certification. In addition the Contract for testing to AS 1546.3:2017, GC006a applies.

Responsibilities under the Scheme

Global Certification Pty Ltd, through its Board, Advisory Board and Chief Executive Officer, are responsible for the management of the scheme. JAS-ANZ is responsible for the accreditation of Global Certification Pty Ltd and its Product Certification Scheme Surveillance.

Certificate holders are responsible for ensuring that the certified Product continues to comply with the requirements of the various code or standard as specified on the relevant Certificate. The Client shall not materially vary the system or product to which the certificate is granted unless the Client has given notice in writing to GC and gained approval to do so.

The Client shall also notify the Company of any of the following changes:
- the legal, commercial, organisational status or ownership;
- to their system product specifications;
- contact, key staff, or site details, and

- major changes to the management system and processes.

Changes to the certified product must be raised with GC prior to any change being supplied to any customer. In some instances, a test site may be set up with approvals from the relevant Government agency requesting installation for testing approval. In all cases this is discussed with the client prior to any action taking place. Where, minor changes are made that do not make a material difference to the product or its performance, the approval will be based on the information supplied and the new components or variation shall be added to the Company Product Plan and the variations recorded in GC 174 Register of Certified Company Product Plans and Jurisdictions where installed. The modifications shall be approved by the original assessor and certification panel member or a suitably qualified person if the original Assessor and panel member are not available.

Note: - Failure to comply with this requirement may result in suspension or cancellation of the certificate. Further information is available in GC166 Product Certification Program Procedure.

Standards and Normative Reference Documents certified under GC Product Scheme

The Domestic Wastewater Treatment Units (Septic Tanks) and Rainwater Tanks Scheme covers but not limited to the following: -

Product Structural Certifications: -

- AS/NZS 1546.1:2008 On Site Domestic Waste Water Treatment Units Part 1 septic tanks
- AS/NZS 4766:2006 Polyethylene Storage Tanks for water and chemicals
- ATS 5200.026-2004 Technical Specification for plumbing and drainage products Part 026: Cold water storage tanks
- AS 3735:2001 Concrete structures retaining liquids

Product Performance Testing Certification: -

- **AS/NZS.1546.3:2008 and AS1546.3:2017 On Site Domestic Waste Water Treatment Units Part 3 aerated wastewater treatment systems**
- **AS/NZS 1546.2:2008 On-Site domestic wastewater treatment units- Waterless Composting Toilets**
- **AS1546.4:2016 On-Site domestic wastewater treatment units- Domestic greywater treatment systems**

Note: - The testing for AS 1546.4:2016 and AS 1546.3:2017 will be conducted under the requirements of the standard and SA MP 101;2017.

Confidentiality

All information relating to an applicant or a certified company will be treated as confidential by all personnel associated with GC. Any Conflict of interest between the assessor or the Company shall be advised to GC.

Subcontracting to an external body and assessor review

When it is necessary to subcontract work, the CEO, Company Secretary, Chairman or other Board member, shall ensure that personnel involved with the subcontracted work meet the applicable requirements of Global Certification Pty Ltd standards.

A review of their competencies will be conducted on at least an annual basis, NACE, OH&S, and other codes form their CV and assessor evaluation, GC require the sub-contractor to declare any potential conflicts of interest, not conduct any joint marketing activity other than for certification services and training services in conjunction with GC and that a properly documented agreement covering these requirements including confidentiality is drawn up.

A list of sub-contractors approved for the providing services shall be maintained and each assessor shall be subject to monitoring to ensure their competence and that they can meet the high standards of service expected of internal personnel.

This standardisation process shall occur at least annually to ensure assessors of GC are consistent in their approach. External bodies shall be required to provide documented evidence of their competence to undertake work on behalf of Global Certification Pty Ltd and will be subject to assessment.

No external body is authorized to issue**,** maintain, extend, reduce, suspend or withdraw a certificate on behalf of GC.

Appeals and complaints

The right of appeal by an applicant or a certificated company, and the method of appeal is contained in the Global Certification Pty Ltd GC002 Contract/application. The Contract/application recognizes that a dispute could exist due to refusal by GC to grant a certificate to a client, or by revocation of a certificate, or refusal to grant a renewal.

Should an applicant have any complaint, question or comment to make in relation to any assessment, then this will be investigated by the CEO or a person nominated by the Board, before any further action.

Where any complaint against an Auditor duly registered under the terms of the Assessor Registration Scheme, is such that notification to the body is warranted, then GC will take this action, together with notification of any actions taken. The Company being assessed will also be advised of their right to appeal should the occasion arise.

Suspension or cancellation of certification

Regardless of other issues, GC may cancel or suspend any certificate where fees are outstanding for a period of greater than 60 days. Where Certification is cancelled or suspended for any reason including voluntary termination, the certificate shall be either destroyed or returned to GC and the suspension or cancellation entered into the GC register and JAS-ANZ register. Approval of either the CEO or nominated Board Member is required prior to GC Suspending or cancelling Certification, voluntary termination by a Client shall be investigated by either the CEO, Administration Manager, or Company Secretary to establish the reasons for termination. This shall be noted in the database in the notes area.

Where greater than 6 months time has elapsed since the previous audit where the Category A was generated, a full assessment audit will be required for reinstatement of the certificate.

In some instances, relating to Quality and Product certification, due to the nature of these it may be possible to temporarily reduce the scope. In the instance of Quality, the only acceptable exclusions would be 7.3 – Design and Development. In the case of product certification - specific products such as particular Waste Water Treatment plants. In all cases all other activities relating to the system must continue to be compliant for scope reduction.

Sites and Services which are not core to the Company's other activities may be excluded from the clients Scope of Certification if GC requirements are not met. **Note:** - Activities which are central to the operation of the company may not be excluded.

If the Client voluntarily requests a suspension, the CEO or Certification Panel Member will review the implications of the expected duration of suspension and advise the client accordingly.

The Client shall not identify itself as certified and shall not use the certification mark in any circumstances including on any products that have been offered under a suspended Certificate. The Company will confirm in writing to the Client the suspension of a Certificate. At the same time, the Company shall indicate under which conditions the suspension will be removed. At the end of the suspension period, an investigation will be carried out to determine whether the indicated conditions for reinstating the Certificate have been fulfilled. On fulfillment of these conditions the suspension shall be lifted and the Client notified of the Certificate reinstatement. If the conditions are not fulfilled the Certificate shall be withdrawn. All costs incurred by the Company in suspending and reinstating a Certificate will be charged to the Client.

Cost

It is impossible to gauge the cost of assessment without full details of the size of the company, the complexity of its business, the number of sites involved, the scope of the required certification and details of any travel expenses that may apply. Quotations are given free of charge by the CEO, Company Secretary, Assessor or Nominated Board Member with the knowledge of the above details.

Use of Certification Symbol

Refer to documents;

- GC055a Use of Stationary Management Systems
- GC055b Use of Stationary Product

General

Please refer to Global Certification's Contract/Application Form, GC002 Appendix 2, for detailed information on many of these and other topics.