

# WaterMark Scheme

## Rules & Requirements



PAS-007-WM-I1-R4

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| AMENDMENT HISTORY |                                                     |
|-------------------|-----------------------------------------------------|
| Date              | Amendment Summary                                   |
| 01/10/2018        | Original issue                                      |
| 16/07/2020        | Document format changes                             |
| 20/7/2020         | Document layout-format changes                      |
| 06/07/2023        | Documented Lead-Free Requirements set down by ABCB. |
| 20/10/2023        | Document format changes – Lead Free Marking         |
|                   |                                                     |



Website



Email

The WaterMark® Scheme is owned by the Commonwealth of Australia, and States and Territories of Australia. It is administered by the Australian Building Codes Board, (ABCB) on behalf of the WaterMark Scheme Owners. For more information please visit, [www.abcb.gov.au](http://www.abcb.gov.au)

The CSi, WaterMark Scheme, product certification process, has been accredited by JASANZ.

The ABCB, has registered CSi as an “Approved Certifier” allowing CSi to issue a WaterMark Licence to an “Approved User”.

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.

## 1.0 Introduction

This document is intended to provide an overview of the CSi certification process for the WaterMark Scheme. It describes the requirements, responsibilities, and obligations, for both CSi and our Approved User's, (Clients).

The WaterMark Scheme is intended to provide a quality, cost effective, safe, and transparent, product certification process, which is accepted by Regulatory Authorities - Bodies, the Plumbing Industry and General Public.

The CSi, WaterMark Scheme, certification process, has been accredited by JASANZ and approved by the ABCB for CSi to issue a WaterMark Licence to an Approved User.

The WaterMark Scheme is an ISO/IEC 17065, Type 5 certification process based on a Type Test Program, for an individual plumbing product type or design to the applicable, Product Specification/s, and involves an initial onsite business review of the manufacturing site, product, and quality plan.

The plumbing product design and safety is the responsibility of the Approved User.

The intent of the CSi WaterMark Scheme, is to meet the following conditions:

- Ensure the WaterMark certification process, meets with the applicable, Australian approval requirements.
- Provide our clients, (Approved Users), with a competitive service, for WaterMark Scheme certification.
- Comply with ABCB, JASANZ and ISO/IEC 17065, requirements for bodies certifying products, process, and services.
- Maintain a product certification process focusing on manufactured plumbing products and their conformity with the nominated, plumbing industry, Product Standards – WaterMark Technical Specifications.

The WaterMark Scheme is a mandatory certification scheme for plumbing and drainage products in Australia, to ensure they are fit for purpose and appropriately authorised for use in plumbing and drainage installations.

The Australian Building Codes Board, (ABCB), administers the WaterMark Scheme. Further information on the WaterMark Scheme can be found at.

<https://www.abcb.gov.au/Product-Certification/WaterMark-Certification-Scheme>

## 2.0 Impartiality Statement

The management of impartiality is of the upmost importance in providing certification services that our, Applicants, Approved User's, 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, Approved User's. CSi do not market or offer its services as being linked with the activities of an organisation that provides management - product system consultancy or internal audit services to Applicants, Approved User's.

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.

## 3.0 Scope

This document sets out the minimum requirements for the CSi, WaterMark - Product Certification Services.

## 4.0 WaterMark – Licensing Requirements

All information provided by the applicant for a WaterMark Licence may be disclosed to the WaterMark Scheme Owner/Administrator, whether that information is of a confidential nature or otherwise, and such information may be used or disclosed by the WaterMark Scheme Owner/Administrator, if the use or disclosure is necessary to comply with Australian, regulations/laws, or to maintain the integrity, validity, or ownership of the WaterMark.

The ABCB may at its discretion vary the requirements of The Manual for the WaterMark Certification Scheme from time to time which may require a change to these, WaterMark-Rules & Requirements.

A client who is approved for certification by CSi is granted a Certificate of Conformity and Product Compliance Schedule with a unique licence number issued by the ABCB which shall be used to mark the certified product. The client shall at all times comply in all respects with, The Manual for the WaterMark Certification Scheme requirements and this document.

By issuing a WaterMark certification CSi is confirming it is satisfied the client, (Approved User - WaterMark licence holder), is capable of consistently producing compliant product.

All rights granted to CSi or the Approved Users in relation to the WaterMark Scheme are non-exclusive and non-transferable.

The client by applying the WaterMark to a plumbing product, packaging, and advertising materials, warrants the plumbing product complies with all the requirements of.

1. This document.
2. The Manual for the WaterMark Certification Scheme.
3. Product Standard/s – WaterMark Technical Specification/s.

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

*Note: The WaterMark is a registered certification trademark of the, Commonwealth of Australia, and States and Territories of Australia.*

## 5.0 WaterMark Licence Conditions

### 5.1 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.

### 5.2 Fees, Terms, Conditions and Appeals.

- Refer to CSi document, PAS-010-WM WaterMark Scheme - Schedule of Fees.
- Refer to CSi document, PAS-009-WM - Terms, Conditions & Appeals Process.

### 5.3 Disclosure.

The Applicant is required to disclose to CSi prior to, or at the time of lodging the application, information regarding any prior unsuccessful application made to another, Conformity Assessment Body, for WaterMark Certification.

### 5.4 Manufacturers Acknowledgement.

Where the applicant is not the manufacturer, the applicant is required to provide CSi with written correspondence detailing the business arrangement between the manufacturer and the applicant.

The manufacturer agrees unreservedly to CSi undertaking onsite assessments to verify product, production, and management system compliance.

### 5.5 Product Verification – Information Required.

The Applicant will ensure the product being submitted for, WaterMark approval, has been listed within the, ABCB document.

- Schedule of Products-WaterMark (WMSP)

Once confirmed the applicant will provide CSi with all relevant technical information relating to the product when the WaterMark licence is being applied for.

The application submission shall include, where applicable, a technical overview of the product, materials specifications, technical drawings, installation instructions, photographs, WaterMark scope of use, marking proposal, etc. which may assist with the certification process.

*Note: Information on a, "WaterMark Scope of Use", statement can be found in the following documents,*

- PAS-008-WM Use of the WaterMark Logo, CSi Certificate & Product Compliance Schedule,
- PASF-51-WM WaterMark Checklist, and
- The Manual for the WaterMark Certification Scheme, Section 9.

### 5.6 New Type of Plumbing Product.

Where the plumbing product submitted for WaterMark certification is a new type of product, not listed within the ABCB, documents:

- Schedule of Products-WaterMark (WMSP)
- Schedule of Excluded Products-WaterMark (WMEP)

The following process shall be followed by the applicant and CSi.

1. CSi is to submit the outcome of an assessment carried out in accordance with the stated requirements of the,
  - Protocol for the Assessment of Risks of Plumbing Products, Appendix 3, of The Manual for the WaterMark Certification Scheme
2. Within 28 days, the Administering Body shall approve, or otherwise, the outcome of the assessment and advise CSi of its decision. Reasons shall be provided in writing where a risk assessment outcome is rejected by the Administering Body.
3. Where the new product is assessed as being excluded from requiring certification under the WaterMark Scheme, the Administering Body shall update the WMEP and CSi shall advise the Applicant accordingly.
4. Where the new product is assessed as requiring certification under the WaterMark Scheme and there is no applicable specification appropriate for evaluating the product attributes, CSi may prepare and lodge an application with the, WaterMark Scheme Administering Body, for an existing, new or amended, Product Specification, to be considered for use in the WaterMark Scheme, in accordance with the "Protocol for Developing Product Specifications" refer, Appendix 4, of The Manual for the WaterMark Certification Scheme).

to the WaterMark Scheme Administering Body. All applicable assessment details and a description of the product is to be provided.

5. When an existing, new, or amended, Product Specification, is approved for use in the WaterMark Scheme, the Administering Body shall update the WMSP and CSI, shall recommence the WaterMark application pre-evaluation in accordance with Section 3, Manual for the WaterMark Certification Scheme.

#### 5.7 Transition Arrangements for Lead Free Plumbing Products.

The ABCB has documented a transition directive “Notice of Direction” (NOD2021/4.2 Certification transition arrangement for lead free plumbing products) for the use of Approved Certifiers/Users in the Lead-Free requirements for plumbing products as outlined in the National Construction Code (NCC), Volume 3, 2022.

##### 5.7.1 Timeline/Enforcement at point of installation.

The transition period commenced, 1<sup>st</sup> May 2023 and will cease by 30<sup>th</sup> April 2026. From the 1<sup>st</sup> of May 2026 only plumbing products that have been certified to the Lead-Free requirements of copper alloy in contact with drinking water will be authorised for use in plumbing installations after 30<sup>th</sup> April 2026.

##### 5.7.2 Lead Free-Applicable Specifications.

Those Specifications that are required to be assessed for Lead Free are those listed in the WaterMark Schedule of Products as available on ABCB website <https://watermark.abcb.gov.au> Any new or amended specifications will be assessed for the inclusion of Lead-Free requirements for copper alloy in contact with drinking water as detailed in Volume 3, Part A5 G4 of the National Construction Code (NCC) 2022. Those products in contact with drinking water that are inherently Lead-Free or otherwise not required to be certified may be voluntarily evaluated as a Lead-Free product.

##### 5.7.3 Materials.

The ABCB has documented in a Notice of Direction (NOD2022/1.1 Acceptable copper alloys for the manufacture of Lead-Free plumbing products). CSI shall confirm compliance with the copper alloy utilised prior to certification of the product to the Lead-Free requirements.

*Note: The lead requirement does not apply to all plumbing products. Some products that are not in constant contact with drinking water and have a low likelihood of being used for drinking water consumption are exempt.*

*These include products such as shower heads, washing machines, dishwashers, commercial boilers (associated with HVAC systems), emergency deluge showers and eyewash equipment.*

*Copper alloy products used in fire-fighting equipment, irrigation systems and recycled water systems are also exempt from the lead requirement because they are not in contact with drinking water.*

##### 5.7.4 Marking/Scope of Use.

The ABCB has documented a Notice of Direction (NOD2022/2.0 Marking requirements for Lead-Free plumbing products for the use of Approved Certifiers/Users). The

Approved User shall submit a marking proposal and scope of use to CSI prior to marking any products with Lead-Free Marking.

##### 5.7.5 Model Identification.

From 1<sup>st</sup> May 2023 products certified as Lead-Free may be issued a new model Identification that distinguishes them from the existing listed product or may maintain existing Model Identification as listed on the WaterMark Certificate of Conformity and WaterMark Product Database and identified as ‘Lead-Free’. From 1<sup>st</sup> May 2026. Any existing product that contains Copper Alloy and is required to be Lead-Free shall no longer be listed on WaterMark Certificate of Conformity and WaterMark Product Database.

##### 5.7.6 Certification.

For the certification process of Lead-Free plumbing products refer to Appendix D, and in addition to the requirements of the Applicable Specification as described in the ABCB, Manual for the WaterMark Scheme, plumbing products shall also be assessed to the standard, NSF/ANSI/CAN 372:2022 Drinking Water System Components – Lead Content.

##### 5.7.7 Evaluation.

Products containing copper alloy in contact with drinking water and identified as requiring certification to Lead-Free on the WaterMark Schedule of Specifications (WMSS), shall be evaluated to NSF/ANSI/CAN 372:2022 as follows.

##### 5.7.7.1 Products where copper alloy components have $\leq 0.25\%$ Lead.

Where all copper alloy components in contact with drinking water are declared as  $\leq 0.25\%$  Lead content, verification shall be by.

- a) A Lead-Free WaterMark Certification; or
- b) Testing at an accredited Testing Laboratory that has NSF/ANSI/CAN 372 in their accredited scope with a report to ISO/IEC 17025

Where the manufacturer has more than one material supplier the manufacturer shall demonstrate the material  $\leq 0.25\%$  of Lead content. Where this cannot be demonstrated each supplier of material shall be tested at an accredited Testing Laboratory that has, NSF/ANSI/CAN 372 in their accredited scope.

##### 5.7.7.2 Products where copper alloy components $\geq 0.25\%$ Lead.

Where any copper alloy component in contact with drinking water are declared as  $\geq 0.25\%$ , Lead verification shall be by.

- a) Undertaking a weighted average lead content calculation in accordance with NSF/ANSI/CAN 372 and provided the weighted average is  $\leq 0.25\%$ : and
- b) Testing at an accredited Testing Laboratory that has NSF/ANSI/CAN 372 in their accredited scope with a report to ISO/IEC 17025

##### 5.7.7.3 Product families/Worst case testing.

The product subject to evaluation can be considered as part of a family of products. In determining the product family for Lead-Free evaluation, consideration of the same Copper Alloy designation, material supplier and processes of manufacturer

with the worst-case scenario being the product with highest wetted surface area.

#### **5.7.7.4 Surveillance.**

The ABCB has documented a Notice of Direction (NOD2022/4.0 Annual factory inspections of Lead-Free plumbing products). On certification of Lead-Free products, the annual product conformity surveillance shall be undertaken at the manufacturer/s premises to confirm continuing Lead-Free compliance through alloys used and processes undertaken.

#### **5.7.7.5 Re-certification.**

Upon the five-year expiry of the Certification the evaluation procedures for recertification shall include evaluating and testing to NSF/ANSI/CAN 372. Any testing / test report shall not be more than 12 months old.

The ABCB has documented a Notice of Direction (NOD2022/4.0 Annual factory inspections of Lead-Free plumbing products). On certification of Lead-Free products, the annual product conformity surveillance shall be undertaken at the manufacturer/s premises to confirm continuing Lead-Free compliance through alloys used and processes undertaken.

## **6.0 Provision of Certification Service**

The CSI WaterMark Scheme licence is issued for a certification term not exceeding five years. The ABCB WaterMark Licence has a maximum term of one year. During the term of certification, the manufacturer and certified product is subject to surveillance reviews annually for compliance with The Manual for the WaterMark Certification Scheme, the product standard, and this document.

### **6.1 Client Application Review.**

The applicant shall submit to CSI an application form (PASF-025-WaterMark Application Form), which will require the applicant/manufacturer to submit details of the product standard for certification, a general description of the product/s to be certified and supporting information.

CSI shall review the application form, and on approval shall request the applicant to submit a quality plan and product specifications for the products to be covered by the WaterMark 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.

## **7.0 Product Testing**

### **7.1 Existing Type Test Reports.**

Where the Applicant elects to submit type test reports conducted prior to the application and relating to the product or products sub-components, CSI will undertake a desktop review for suitability of acceptance. These reports and the related assessments shall be from a recognised test laboratory, are current, (less than three (5) years old), are

traceable to a production batch, comply with the Product Specification/s, as referred to in the application.

### **7.2 Submission of Products for Type Testing.**

Where a plumbing product is submitted to CSI for review, the applicant shall provide the following applicable information:

- a) Comprehensive product identification information, including detailed specifications, technical details, technical drawings, bill of materials, material information, installation and maintenance instructions, photographs, packaging material details, compliance marking details, WaterMark scope of use statement and any other information deemed relevant to maintain a design freeze or assisting the certification process.
- b) Product type and model availability for the purpose of selecting suitable product for the Type Test Schedule.
- c) The scope of Type Testing shall include all testing requirements applicable to the range of products / families of products.

The Plumbing Code of Australia, (PCA), defines the installation requirements for products in plumbing and drainage systems together with any limitations on installation.

From the installation requirements of the PCA, the applicant shall determine whether the installation of the product is addressed satisfactorily and whether there are any limitations on installation, this shall be reviewed by CSI.

### **7.3 Type Test Sample Selection.**

Product Type Test sample selection will typically be nominated by CSI. Samples shall be representative of the entire line or group of products/product families to be certified and shall be made using components and sub- assemblies identical to those used in production, made using production tooling and assembly methods established for the manufacture of the final, certified product.

Where a product model range/family share common design features and options, CSI may at their discretion nominate a Type Test program based on the common design features and options unless otherwise specified in the relevant Product Specification/s. In this case, the assessment program is normally based on the "worst case" scenario of the product range, with consideration of additional assessments on other model – product variances.

### **7.4 Test Samples from Production Run.**

Type Test samples shall be selected when the production process has been running and is confirmed as stabilised.

The Type Test samples shall be randomly selected from a production run that is large enough to ensure the sample is representative of the product design and of the quality the Approved User will sell into the marketplace.

### **7.5 Prototypes.**

For initial evaluation purposes, Type Testing may be conducted on prototype samples, providing the samples

demonstrate the suitability of the product design and operation with respect to the relevant, Product Specification and Australian, Regulatory requirements. CSi may request additional correlation testing once production has stabilised and prior to the release of the WaterMarked product, onto the marketplace.

#### **7.6 Condition of Type Test Samples.**

Type Test samples shall be in the condition in which they are intended to be released into the marketplace and include all relevant options, materials, and associated documents, i.e., instructions for installation and maintenance, WaterMark Scope of use statement, marking details, photographs, packaging details, care, and service.

Delivery of Type Test samples to the nominated recognised test laboratory and their condition on delivery is the responsibility of the applicant. The Type Test samples shall be suitably packaged to prevent damage or deterioration in transit.

#### **7.7 Type Test Schedule.**

A Product Type Test Schedule shall be prepared when:

- a) The client makes an application for a product which has not been previously, WaterMark certified, and.
- b) At the discretion of CSi when:
  - i. Certified product has undergone or may have undergone a design change from the original, Type Tested and certified product,
  - ii. Testing of a certified or listed, Watermark product, indicates a failure to comply with the, Product Specification/s,
  - iii. The Approved User requests to extend the scope of certification and add another product or product variance to the WaterMark Licence, Product Compliance Schedule, which CSi considers, requires additional assessment.

#### **7.8 Recognised Type Test Laboratory.**

The Applicant – Approved User, shall select a recognised test laboratory for Type Testing, ensuring the nominated laboratory has an 'Accreditation Scope' which covers the assessment criteria detailed in the, Product Specification/s, and CSi, Type Test Schedule.

All laboratory, Type Test costs, and any incidentals shall be met by the Applicant - Approved User. Recognised Test Laboratories shall be accredited. NATA or an ILAC MRA accredited test laboratories are preferred.

Where a test laboratory is not NATA or an ILAC MRA accredited, acceptance of a report from such a facility will require CSi's evaluation of the test laboratory's compliance with the requirements of, ISO/IEC 17025 and CSi document, PASF\_008 SMT Report.

Contact CSi for a listing of laboratories recognised for Type Testing of plumbing products, materials, and components,

which can be made available upon request to accepted Applicants - Approved Users.

All contracts for product Type Testing are between the applicant – Approved User and the Recognised Test Laboratory. Where CSi communicates with the laboratory, it does so as an agent for the applicant or WaterMark licensee.

#### **7.9 Type Test Reports.**

Original, signed, and dated Type Test reports are required to be sent to CSi. Evaluation and acceptance of the report and the test results remains the responsibility of CSi, and as such, CSi reserves the right to reject any report or test result.

Where the product has failed during Type Testing, the Applicant – Approved Users, testing facility, is required to provide CSi with details of the nature of the failure and the corrective action taken to enable the product/s to satisfy the, Product Specification/s and/or, Regulatory requirements. '.

Retesting of failed product shall be conducted by the same Type Test laboratory, that conducted the original Type Test, unless otherwise agreed to between the Applicant - Approved User, and CSi.

A passed, Type Test result, does not automatically imply certification will be granted where it is found during final review that an incomplete report, not to the Type Test Schedule, or the Recognised Test laboratory has not conducted Type Testing in accordance with the Type Test Schedule; etc.

### **8.0 Initial Manufacturing Site Review**

#### **8.1 Pre-Certification Business Review.**

As a pre-requisite of the WaterMark Scheme certification, a Business Review at the manufacturing site is undertaken prior to the issuance of the WaterMark Licence by CSi.

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.

The Business Review process requires the manufacturer to provide access to the manufacturing site where the production and final inspection is conducted on the products – components – materials, for which certification is to be granted.

The manufacturer's production, inspection and testing processes are audited for compliance with the Product Specification/s, The Quality Plan, The Manual for the WaterMark Certification Scheme, and this document.

#### **8.2 Final Documentation Processing.**

Upon receiving the 'Pre-Certification Business Review Report', laboratory test reports and associated documents,

CSi shall conduct a back-office review of the documents and provide the Applicant-Approved User, with information on the required actions to complete the WaterMark, certification process.

The Applicant- Approved User will be advised to:

1. Provide CSi with any additional updated product technical information, instruction information, compliance marking proposal/s for WaterMark, final review.
2. CSi shall ensure that adequate supervision and control has been exercised throughout the WaterMark certification process, to ensure the production, process, the product, together with related marking and other information requirements conform with all the relevant requirements of the, Product Specification/s, "The Manual for the WaterMark Certification Scheme", this document and Australian, Regulatory requirements.
3. CSi shall ensure only conforming product listed on the Watermark Licence - Product Compliance Schedule, and complying with the Product Specification/s, shall be marked with the WaterMark logo.

### 8.3 Issue of WaterMark Licence – Product Compliance Schedule

A WaterMark Licence and Product Compliance Schedule is issued for a term not exceeding, one year, provided all documents and records relevant to the initial certification process, are capable of:

1. Ensuring product intending to display the WaterMark complies with the applicable Product Specification/s.
2. Complies with the terms and conditions of The Manual for the WaterMark Certification Scheme and this document.
3. Has completed the surveillance of the certified product with no non-conformances raised and has made payment of all fees for the issuance of the WaterMark Licence, by the due dates, prior to licence issue by CSi.

### 8.4 The Approved User-Conditions.

CSi grants the Approved User, a non-transferable, non-exclusive Licence to use the WaterMark as a certification trademark, as set out in The Manual for the WaterMark Certification Scheme.

Where the Approved User provides copies of the CSi, WaterMark certification documentation to others, the document/s shall be reproduced in its entirety or as specified in The Manual for the WaterMark Certification Scheme.

Once issued, the expiry date of WaterMark Scheme Licenses cannot be extended. Any new products added to the WaterMark Licence shall have a period of validity for the remainder of the existing WaterMark Licence term.

The WaterMark Scheme Owner does not grant licenses for the use of the WaterMark Scheme directly to users (including manufacturers) of the WaterMark (each an "Approved User").

Instead, it enters into an agreement ("Approved Certifier Agreement"), with CSi who have been approved by the, Scheme Owner as (an "Approved Certifier"), and grants CSi the right to enter into WaterMark Licence agreements directly with, Approved Users, for the use of the WaterMark, in accordance with the terms of the, Approved Certifier Agreement, (which also sets out minimum terms that must be included in the agreement between CSi and Approved Users ("Approved User Agreement") and The Manual for the Watermark Certification Scheme.

## 9.0 Annual Surveillance Business Review

The method of annual surveillance is documented in the Manual for the Watermark Certification Scheme. Section 8.5.1, VI

As a requirement for continued certification, Surveillance Business Reviews, are required as a minimum once every twelve (12) months from the date of initial certification of the product and to continue on an annual basis, for the certification term of five (5) years. The frequency of the surveillance review may be changed at the discretion of CSi but shall be no less than once in a 12-month period, plus or minus one (1 month).

The annual, Surveillance Business Review process, can be completed either onsite (*mandatory for Lead Free Plumbing Products, refer to: Notice of Direction 2022/4.0*), or by remote Business Review, both service provision methods require the Approved User, to provide access to, CSi staff or nominated agent, at some or all of the following locations, the Manufacturing site, Distribution or Warehouse site/s.

Samples of certified products shall be selected from either of the locations mentioned above or be purchased in the marketplace by CSi or their nominated agent, at the Approved Users, expense, and reviewed at a location chosen by CSi.

Samples for product inspection shall be representative of the range of models/family of products shown on the WaterMark, Certificate and Product Compliance Schedule.

The scope of surveillance inspection shall not be less than that defined in, The Manual for the Watermark Certification Scheme, Product Specification/s, or, where not specified, a scope developed by CSi in association with the Approved User.

The product examination shall include, reviewing the product markings, claims associated with a product, installation instructions and WaterMark Scope of Use, Characteristics/critical attributes of the product against specifications and drawings; individually certified integral components, against the WaterMark, Certificate, Product Compliance Schedule details, and any other aspects identified by CSi.

Where CSi deem it necessary to evaluate the certified product in detail, disassembly of the product may be required, which may render the sample unusable. Where an Approved User requests the return of product selected for inspection,

the expenses involved with the return of the evaluated product are the responsibility of the Approved User.

The CSI annual, Surveillance Business Review, shall as a minimum, conduct a desktop review of:

- Batch release test results.
- Complaints.
- Non-conformities.
- Consistency with applicable Product Specification/s.
- Certification currency of individually certified, integral components.
- The Approved User's declaration of conformity with the WaterMark Licence.

It shall also ensure the Approved User's – Declaration of Conformity with the WaterMark Certification Scheme, confirms there is no change to product design, product material, manufacturing process, location, integral component products with individual WaterMark certification.

The annual review shall also address how the Approved User, shall provide details to CSI and the WaterMark Scheme Owner, where there is a change to product design, product material, manufacturing process or location, integral component products with individual WaterMark certification.

Should CSI have concerns arising from the annual Surveillance Business Review, those concerns shall be investigated and resolved by CSI prior to re-issuing the WaterMark Licence. This may require follow-up activities including but not limited to, a manufacturing site re-inspection and certified product re-testing.

Costs associated with the service provision of the annual Surveillance Business Review, are shown in CSI document, PAS-010-WM-WaterMark Scheme - Schedule of Fees.

CSI reserves the right to vary the frequency, duration, and nature of the annual Surveillance Business Reviews, in accordance with, The Manual for the WaterMark Certification Scheme requirements which may change from time to time.

The Approved User agrees that CSI may conduct a Business Review of any sites operated by the Approved User and/or manufacturer at any time and, the Approved User and/or manufacturer, shall provide reasonable access to personnel, records and premises required by CSI.

Where required the Approved User agrees to Technical Experts, Observers accompanying CSI on a Business Review, when requested by the, ABCB Scheme Administrators, JASANZ auditors, Government Regulators.

## 10.0 Re-Certification Business Review

The WaterMark Licence has a maximum term of five, (5) years. Re-certification of the certified product, is required to be undertaken no later than three, (3) months prior to the WaterMark Licence expiry date, and shall be conducted in accordance with the,

- 1) The Manual for the WaterMark Certification Scheme
- 2) PAS-007-WM WaterMark - Rules & Requirements
- 3) PAS-008-WM Use of the WaterMark Logo, CSI Certificate & Product Compliance Schedule
- 4) PAS-009-WM WaterMark Scheme - Terms, Conditions & Appeals Process

Re-certification shall comprise of a re-evaluation of product testing and factory assessment as follows,

1. Samples for product testing shall be selected by CSI or nominated agent, from the factory/factories, warehouse or from the marketplace.
2. Samples shall be representative of the range of products / families of products listed on the WaterMark Licence – Certificate and Product Conformance Schedule.
3. For products that have been added to the WaterMark Licence – Certificate and Product Conformance Schedule, after initial certification, re-evaluation testing shall commence within three months of the fifth, (5<sup>th</sup>) anniversary of the initial certification decision.
4. The scope of testing shall not be less than that defined in the, Product Specification/s, for re-evaluation testing or, where not specified, for batch release testing or, where not specified, CSI will provide the scope of testing.
5. Re-evaluation testing shall be conducted by an accredited test laboratory.
6. On-site assessment of the manufacturing processes and Quality Plan. The scope of the re-certification Business Review will be as per the initial assessment.

## 11.0 Quality Plan Requirements

The Approved User is required to maintain a Quality Plan, at the manufacturing site to direct and control the management compliance system, as a means of ensuring continuing conformance with the, Product Specification/s, and any applicable, regulatory requirements.

Requirements for a Quality Plan are set out in Appendix 5, of The Manual for the WaterMark Certification Scheme.

The Quality Plan may be a stand-alone document in a small company manufacturing one simple product, in a larger company, it may be part of the company's quality management system.

It is a requirement of this document and The Manual for the WaterMark Certification Scheme, for a Quality Plan to be submitted for review, acceptance, and registration.

The Quality Plan shall also address the following CSI requirements in relation to the stated requirements of this document.

- ✓ A position description for the nominated management representative and deputy who shall be appointed and

given authority to ensure compliance with the WMCS Manual and this document.

- ✓ An organisational chart for the manufacturing site
- ✓ A quality policy, which shall make a statement of compliance with the Product Specification/s.
- ✓ Provision of resources to meet each requirement in the Quality Plan. (Material, Human & Facility resources)
- ✓ Reference to WaterMark, Product Specification/s
- ✓ Quality plan inputs
- ✓ Quality objectives for the certified product.
- ✓ Control of documents and data
- ✓ Control of records
- ✓ Control of monitoring and measurement processes
- ✓ Control of non-conforming product including a product recall of certified products from the marketplace,
- ✓ Control of calibrated measuring equipment
- ✓ Control of internal audits
- ✓ Type and Batch testing of conforming product
- ✓ Product compliance marking
- ✓ A Process Flowchart that identifies your processes.
  - shows all major steps in the administrative and manufacturing processes related to the certified product.
  - identifies all inspection and testing processes from incoming goods through to final inspection & testing.
  - identifies any part of the processes, sub-contracted off-site.
  - shows specific references to applicable, work instructions, inspection, and test reports.
  - a legend of symbols or terms used in the document.

*Note: for guidance refer to:*

*Appendix B: Guide to the Requirements of a Quality Plan*

*Appendix C: Process Flowchart Example.*

- manufactured in accordance with a documented, Quality Plan, for the certified product.
- are inspected and tested in accordance with the, Product Specification/s. and
- when sold are compliant with the Product Specification/s, The Manual for the WaterMark Certification Scheme, and this document.

Senior management are also responsible for informing CSi of the following.

- Changes to the, Product Specification/s, or production processes, that may affect compliance of the certified product.
- Changes to certification conditions, such as company name, ownership, manufacturing or head office site address, management representative, etc.
- Changes to the manufacturing process, material suppliers, approved test laboratory.
- Non-conforming products released into the marketplace.
- Corrective and preventative actions taken in response to CSi Business Review, findings.

### 12.2 Documentation Requirements.

The company is required to manage those actions, responsibilities, and documentation necessary to properly control the preparation, authorisation, issue, and removal of obsolete documents.

### 12.3 Record Management.

The company is required to manage those controls, put in place to identify, store, protect, retrieve, and dispose of records. Records shall always remain legible and shall be available to the CSi representatives for a period of 10 years after the date of filing, even if the contractual arrangement between CSi and the Approved User 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 Product Specification/s and, manufacturers, Quality Plan.

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 shall as a minimum be maintained/retained by the company in relation to product conformity.

- Type test records.
- Batch test records.
- Work order records.
- Product component records, Customer supplied product.
- Supplier specifications.
- Complaints records, non-conforming product records

## 12.0 Management System Responsibility

### 12.1 Senior Management Requirements.

Senior management are responsible for the quality planning and continual improvement of the company and shall develop, implement, and maintain a Quality Plan, to ensure all WaterMarked products are.

- 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 input, review, verification, and validation.
- Control of design and development changes.
- Purchasing processes.
- Document Control.
- Validation of processes for production and service provision.

#### **12.4 Statutory and Regulatory Requirements.**

The Approved User shall take into consideration the Statutory and Regulatory requirements that apply to its products for the Australian and other markets it may enter.

#### **12.5 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 CSi, 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.

#### **12.6 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 consumed in the manufacture of a conforming product.

#### **12.7 Management Review & Customer Focus.**

Management shall define the boundaries and applicability of their management system. Management shall review the organisation's management and production systems at planned intervals. Management shall verify customer requirements are determined and met to ensure customer satisfaction, as well as monitoring customer feedback and customer complaints. Management reviews and customer focus reviews shall be conducted on at least an annual basis; records of these reviews shall be maintained.

### **13.0 Product Compliance**

#### **13.1 Infrastructure, Work Environment.**

Management shall define and maintain the infrastructure required for the realisation of a compliant product. For example, factory workspace, plant and equipment, storage,

transport facilities, development of maintenance instructions, etc.

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

#### **13.2 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 Product Specification/s, its safety or performance. Records shall be maintained for all personnel involved with the management or production of certified products. These records as a minimum shall detail, education, training, job skills and experience of the individual. Such training records shall be reviewed at a frequency determined by the client.

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

#### **13.3 Design & Development.**

The organisation shall plan and control the design and development of WaterMark Scheme products, to be certified. This shall include keeping records of design inputs and outputs, design reviews, verification, validation, and developmental changes. On completion of a product, Type Test evaluation, all components and materials used in the product during the manufacturing, assembly, and testing processes, shall have a design freeze applied.

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, Product Specification/s. CSi shall be notified in writing, for acceptance and registration, prior to the implementation of any design changes to the certified product or to technical documentation that shall affect compliance with the Product Specification/s and WaterMark Scheme licensing conditions.

Re-testing of the certified product should occur if any change in the design, product materials/components, manufacturing process or location, the currency of individual WaterMark licences of integral components, any amendment or change in the Product Specification/s, or product manufacturing process, and any substitution of integral components with individual WaterMark licences.

Changes that do not affect compliance of the product with the Product Specification/s, are not required to be communicated to CSi.

#### **13.4 Quality Control.**

The management system shall address those activities which have a critical bearing on the compliance of the product to the Product Specification/s, 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.

### 13.5 Verification of Purchased Product.

Management shall ensure purchased components, materials and services comply with specified purchase requirements and/or Product Specification/s. 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 an Approved User relies on and shall use a certificate of conformity, as evidence of product compliance for the acceptance of incoming goods to the Product Specification/s or purchasing requirements. The certificate of conformity shall clearly identify the products to which it refers, the Product Specification/s or purchasing requirements against which the declaration has been made, batch testing undertaken to verify compliance, and the quantity of items covered.

Records shall be maintained for verification of purchased product.

### 13.6 Customer Supplied Product.

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

### 13.7 Identification & Traceability.

Management shall establish and maintain documentation to ensure a WaterMark Scheme certified product is traceable by unique identification of individual product or batches. This identification shall be recorded on inspection or test reports.

### 13.8 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 document and conduct ongoing compliance inspections and tests, which shall include batch testing and recording, in accordance with the Product Specification/s.

The documentation shall clearly state how the inspections and tests are planned and implemented to ensure the finished product complies with the requirements of the Product Specification/s and manufacturers, Quality Plan.

Where the Product Specification/s do not clearly specify ongoing testing, a technical specification shall be issued by CSi, which shall state minimum requirements for in-house inspection and batch testing of WaterMark, certified products.

### 13.9 Control of Non-Conforming Product.

It is a requirement for non-conforming products to be identified and segregated (*where practicable*), by a person with appropriate authority and responsibility, to report the non-conformity.

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, action taken to repair/rework the product, re-inspections undertaken, and concessions granted.

Products which cannot be re-worked/repared to compliance requirements shall have the WaterMark logo and Licence Number, de-faced or removed prior to sale, should this not be possible, the product is to be destroyed.

The Approved User shall maintain a document to manage and control a recall of certified products from the marketplace. This document shall comply with or be like the "ACCC Consumer Product Safety Recall Guidelines" that should effectively address the recall of non-conforming, certified products.

CSi as a minimum requires the Approved User, to notify and report the following regarding a product recall.

- The identification of the type of failure.
- Notifying CSi and the Scheme Owner-Administrator of the extent of the non-conformance.
- Investigation of the non-conformance (including corrective & preventative action).
- Recall of the Watermark certified products already sold.
- Maintenance of a historical summary of events.

*Note: refer to Australian Competition & Consumer Commission website below for product safety recall guidelines.*

<https://www.productsafety.gov.au/about-us/publications/consumer-product-safety-recall-guidelines?source=recalls>

### 13.10 Inspection Measuring & Test Equipment.

Inspection measuring and test equipment, used in determining the compliance of the product to the Product Specification/s, shall be calibrated at specified intervals or subject to an operational check prior to use. Inspection measuring, and test equipment shall be clearly identified to allow traceability of the calibration status to records or certificates of calibration.

The 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 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, inspection measuring, and test equipment shall be protected from deterioration or damage.

Records of calibrations undertaken for inspection measuring and test equipment shall be retained for a period of 10 years.

The records shall include equipment identification, recalibration interval, reference specifications, 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 their usage.

#### **13.11 Preservation of Product.**

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

#### **13.12 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 any of the work to any other organisation and/or manufacturing facility without written authority from the certified client and CSi.

### **14.0 Post Certification**

#### **14.1 Extension or Reduction of Scope of Certified Product.**

Should the Approved User, wish to extend the scope of certification to incorporate additional types of products, to the same specified requirements as the products for which a WaterMark certification has already granted, the Approved User, should contact CSi to arrange.

When an organisation's scope of certification is reduced, CSi shall issue revised certificates of conformity 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.

#### **14.2 Maintenance of WaterMark Scheme Certification.**

When there has been a change in the Product Specification/s, CSi shall advise the Approved User, of this change. It is the Approved User's, responsibility to renew WaterMark certification of their product and ensure that products are manufactured to comply with all amendments to the Product Specification/s. Changes required to the certified product shall be completed within a period of twelve (12) months from the date of listing of the Product Specification/s, on the WMSP. This period may be extended in exceptional circumstances at the discretion of the WaterMark, Administration Body.

#### **14.3 Inspection – Re-Testing.**

Where requested by CSi, the WaterMark Scheme Owner – Administrator, or Regulatory Authorities, the Approved User, shall submit for inspection or retesting, samples of the WaterMark product/s, on which it has applied the WaterMark.

#### **14.4 Suspension-Cancellation-Termination of the WaterMark Licence Holder.**

CSi has the power to suspend, cancel or terminate, the use of the WaterMark Licence, by the Approved User.

CSi shall inform the Administering Body, of any, Approved User's, suspension, cancellation, or termination, which may include a product recall, within seven (7) days of the suspension, cancellation, or termination, being put in place by, CSi.

Suspension, Cancellation or Termination of the WaterMark Licence, is detailed in CSi document,

- PAS-009-WM-WaterMark Scheme – Terms, Conditions & Appeals Process

### **15.0 Product Marking - Identification**

#### **15.1 WaterMark Usage.**

The WaterMark is a means of identifying certified product and shall only be used in a manner, which conforms with the requirements of The Manual for the WaterMark Certification Scheme, and CSi document,

- PAS-008-WM- Use of the WaterMark Logo – CSi Certificate & Product Compliance Schedule.

The Approved User is required to attain formal approval from CSI for the following:

- The form and way the WaterMark is used on the product,
- The form and way the WaterMark is used on promotional material, packaging, instructions etc.,
- Proposed references in any form to the WaterMark Licence number.

*Note: CSI offer a dual certification – compliance marking service for plumbing products which are compliant to a defined product standard that may be certified to both the WaterMark Scheme and the CSI, PAS-Mark Scheme.*



## 16.0 Complaints & Appeals

### 16.1 General.

Any, Approved User or third party can complain or appeal against a decision by CSI on the following grounds:

- Refusal on the acceptance of an application for certification
- Refusal to recommend certification.
- Withdrawal, suspension, or cancellation of certification
- Rejection of a scope or part of a scope of certification
- Third party appeal or representation against the granting of a certificate to an Approved User.

All complaints, appeals and representations shall be treated as strictly confidential by all parties concerned. For full details on the complaints and appeals process, refer to CSI document,

- PAS-009-WM- WaterMark Scheme - Terms, Conditions & Appeals Process

## 17.0 Transfer of Certification

### 17.1 Between Legal Entities

A request to transfer a WaterMark 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.

### 17.2 From Other Accredited Certification Bodies

CSI may accept transfers of current product certifications granted by other accredited Certification Assessment Bodies (CAB), provided that the following conditions are met:

- The current CAB has been accredited for the relevant standard.
- The organisation requesting the transfer has a valid certificate including product schedule and submits

evidence that annual certification audits have been undertaken by the previous CAB.

- The organisation requesting the transfer produces a valid, and current audit report where no issues of major non-conformities have been raised, by their current/former CAB.
- The relevant and complete technical documentation for the certified product, including test reports are made available and accepted by CSI.

The certification transfer process commences once CSI has received a completed, Application Agreement Form.

CSI shall formally notify the other certification body of the request to transfer and the proposed date of transfer (can be no more than 4 weeks after the date of the request/receipt of the completed application form).

For a certificate to be eligible for transfer, it must have been issued under one of the following, providing the certification program is within the scope of the signatory:

- European Accreditation (EA),
- Pacific Accreditation Cooperation (PAC),
- Inter American Accreditation Corporation (IAAC), or
- IAF Multilateral Agreement (MLA) signatory.

If the existing certification is accredited by a body that belongs to a regional MLA only, the transfer shall be limited to other accreditations valid within that regional agreement.

Organisations holding certificates that are not covered by such accreditations shall be treated as new clients by CSI.

Only valid accredited certification shall be transferred. Certification which is known to be suspended shall not be accepted for transfer.

In cases where certification has been granted by a certification body which has ceased trading or whose accreditation has expired, been suspended, cancelled, or withdrawn, the transfer shall be treated as a new client application by CSI.

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

The certification body holding the organisations current certification is required to provide the following information within five (5) days:

- Most recent review report.
- Most recent review findings.
- Corrective Actions to address non-conformances and acceptance of these from departing certification body, or evidence of documented attempts to close them (if applicable).
- Current certificate(s).
- Any information of current threats to certification, which would prevent the transfer.

CSI will formally advise the departing certification body once the transfer process is complete.

CSi will conduct a review of the certification by means of a documentation review, onsite or remote Business Review to ensure the client's certification falls within CSi's accredited scope and CSi has sufficient information to accept the transfer.

### 17.3 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, WaterMark database and our internal database until the stipulated transfer date.

## 18.0 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. Charges associated with provision of this service are contained in CSi document, PAS-010-WM - Schedule of Fees.

## 19.0 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.

## 20.0 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 WaterMark Scheme 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)

## 21.0 Declaration of Conformity

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

- PASF\_047-WM - Approved User's declaration of conformity with the WaterMark Certification Scheme.
- PASF\_050 WM-Approved Users Declaration of Conformity.

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## Appendix “A” Typical scope of an Onsite Business Review.

The Account Manager may review the following areas in administration, production, and quality control at the manufacturing site against this document and applicable WaterMark Product Specification/s.

### 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 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

- ✓ Batch release test results
- ✓ 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
- ✓ Specification 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 Plan, (implementation, maintenance, improvement off) Work instructions in compliance with this document.
- ✓ Management Review Meeting Minutes
- ✓ Archiving of records in compliance with this document
- ✓ Management System and document control
- ✓ Changes to management system or standards that may affect compliance with the certified WaterMark product or this document.
- ✓ Changes to company registered name, trading name, management representative.
- ✓ Computer data backup
- ✓ Review of records
- ✓ Internal Audits
- ✓ Customer complaints, market surveillance by company. Documented history records for a product recall.
- ✓ 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 B: Guidelines 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.

|                                                                    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
|--------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Organisational Chart</b>                                        | 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.                                                                                                                                                                                                                                                             |
| <b>Quality Policy</b>                                              | 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.                                                                                                                                                                                                                                                                                                             |
| <b>Quality plan inputs</b>                                         | Requirements specified by the customer.<br>Statutory and regulatory requirements related to the product.<br>Product Specifications – Drawings – Scope/Instructions for use                                                                                                                                                                                                                                                                                                                |
| <b>Nominated Management Representative</b>                         | A position description for a nominated management representative and deputy management representative.                                                                                                                                                                                                                                                                                                                                                                                    |
| <b>Document Control</b>                                            | Documentation required by or referenced in the quality plan which shall be controlled.                                                                                                                                                                                                                                                                                                                                                                                                    |
| <b>Record Control</b>                                              | The controls put in place to identify, store, protect, retrieve, and dispose of records.                                                                                                                                                                                                                                                                                                                                                                                                  |
| <b>Management Review</b>                                           | Management shall define the boundaries and applicability of their management system and shall review the organisations management and production systems at planned intervals.                                                                                                                                                                                                                                                                                                            |
| <b>Provision of Resources (Material, human, infrastructure)</b>    | Management shall ensure purchased components; materials and services comply with specified purchase requirements and relevant standard.<br><br>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.<br><br>Management shall define and maintain the infrastructure required for the realisation of compliant product. |
| <b>Identification and traceability, product compliance marking</b> | 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.<br><br>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.                                                |
| <b>Internal audits</b>                                             | 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.                                                                                                                                                                                                                                                  |
| <b>Corrective – Preventive Actions</b>                             | Corrective and preventive action consists of improvements to an organisation's processes taken to eliminate causes of non-conformities or other undesirable situations.                                                                                                                                                                                                                                                                                                                   |
| <b>Calibration of equipment</b>                                    | 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.                                                                                                                                                                                                                                                                       |
| <b>Product batch testing and release</b>                           | The organisation shall document the frequency it undertakes production batch release testing and reporting in accordance with the product standard, technical specification.                                                                                                                                                                                                                                                                                                              |

PAS-007-WM-I1-R4

#### **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 C: Guidelines for Product Testing

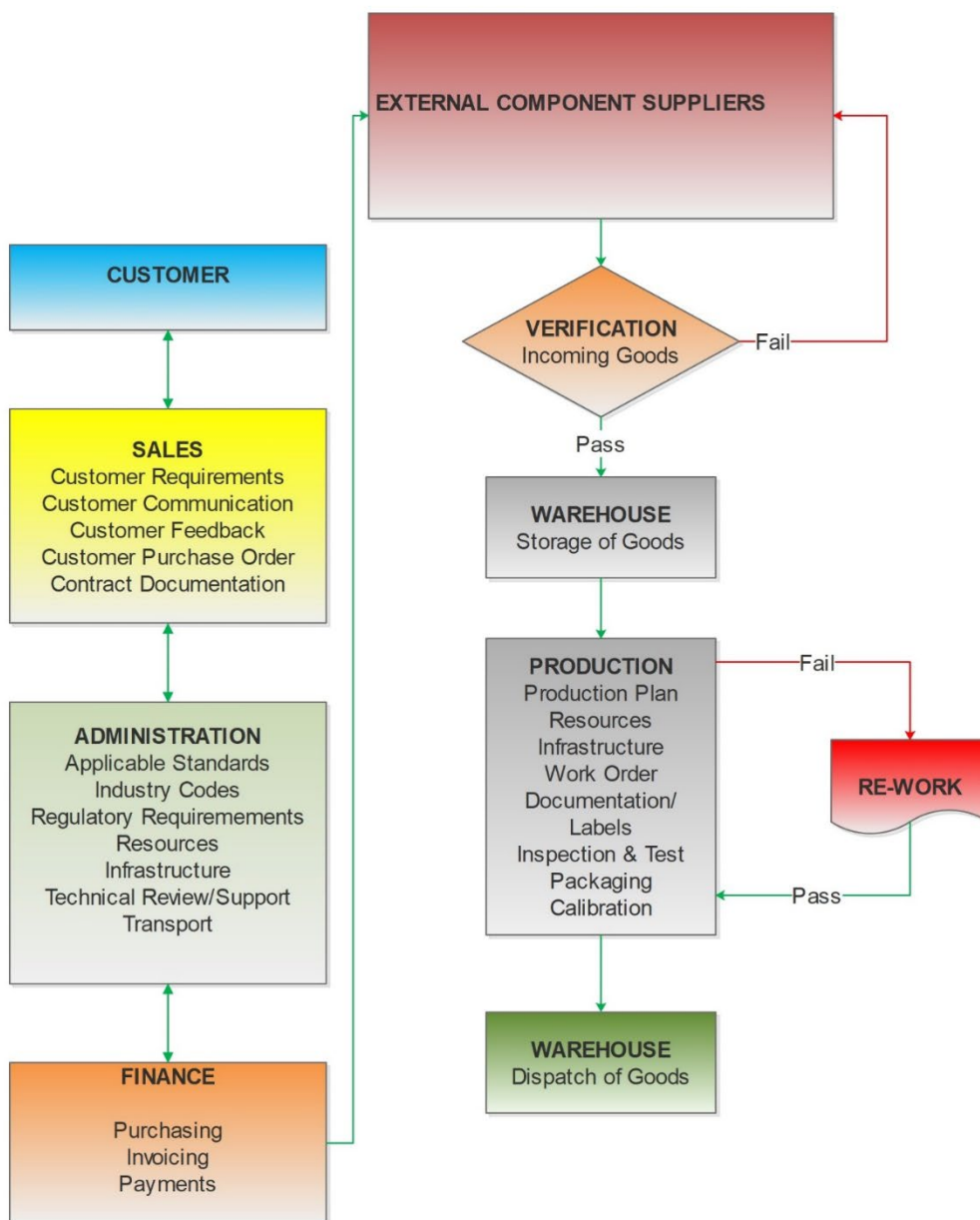
**CSI** Product certification schemes require testing or inspection of the product to ensure compliance with the applicable product standard, technical specification, or industry code.

An applicant or client of **CSI** has the right to choose 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 WaterMark Certification Scheme.

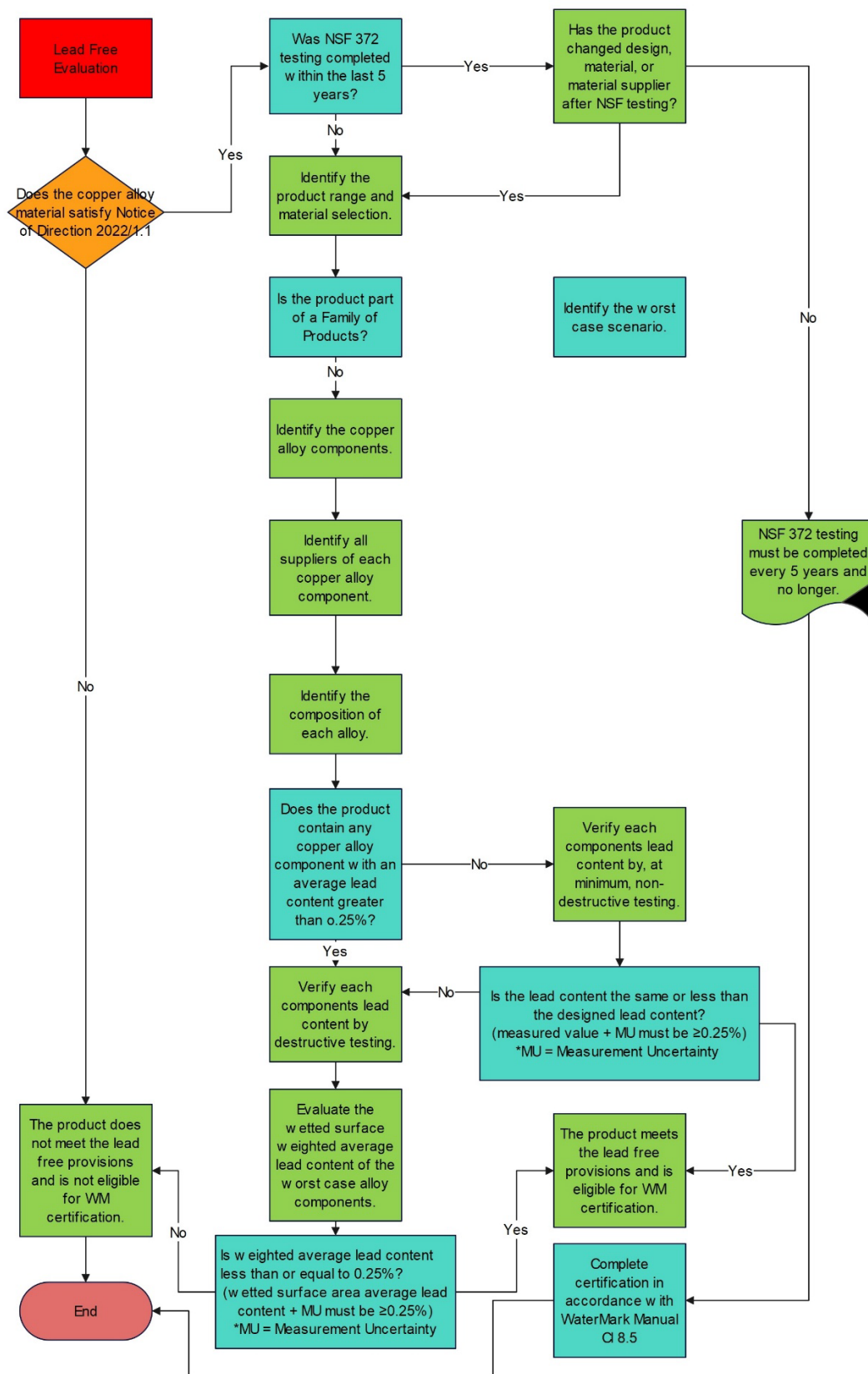
| Process                          | Applicant - Client                                                                                                                                                                                      | Recognised Test Laboratory                                                                                    | 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 <b>CSI</b> 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 <b>CSI</b> .                                                                                                                                                                     |                                                                                                               | Acceptance of test plan.                                                                                                     |
|                                  | Confirm selection of test laboratory.<br><br><i>Should there be no recognised test laboratory available for a particular standard consult with <b>CSI</b> for possible alternative test facilities.</i> | Agree with <b>CSI</b> 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 <b>CSI</b> .                                 |                                                                                                                              |
|                                  |                                                                                                                                                                                                         | 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 <b>CSI</b> .                                                                                                                                    |                                                                                                               |                                                                                                                              |
| Evaluation of product compliance |                                                                                                                                                                                                         | Provide any technical advice sought from <b>CSI</b> or the applicant/client                                   | <b>CSI</b> to evaluate and verify compliance of the testing undertaken with the stated requirements of the product standard. |
|                                  |                                                                                                                                                                                                         |                                                                                                               | <b>CSI</b> make decision on compliance and acceptance of test report and notify applicant/client.                            |

## Appendix D: Process Flowchart Example



|                                                           |              |   |
|-----------------------------------------------------------|--------------|---|
| Process Flowchart for the Production of plumbing products | Drawn by:    | X |
|                                                           | Checked by:  | X |
|                                                           | Approved by: | X |
| BEEZY BEE PTY LTD                                         | Issue No.    | X |
|                                                           | Revision No. | X |

## Appendix E: NSF 372 Evaluation - Process Flowchart



## Appendix F: Reference & Related Documents

- Manual for the WaterMark Certification Scheme
- Schedule of Products-WaterMark (WMSP)
- Schedule of Excluded Products-WaterMark (WMEP)
- ISO 9000 Quality management systems – Fundamentals and vocabulary.
- AS/NZS ISO 10005 Quality management systems – Guidelines for quality plans.
- 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.
- PAS-008-WM Use of the WaterMark Logo, CSi Certificate & Product Compliance Schedule
- PAS-009-WM WaterMark-Scheme-Terms, Conditions & Appeals Process.
- PAS-010 WM-WaterMark Scheme - Schedule of Fees.
- PAS-011-WM-Guidelines-WaterMark-Certification Process
- PASF\_025-WM-Application Form
- PASF\_047 WM-Approved User Agreement for the WaterMark Certification Scheme.
- PASF\_050 WM-Approved Users Declaration of Conformity.
- PASF\_51-WM WaterMark Checklist
- CDP\_011-I1-R1 Remote Business Review Methods
- CDP\_012-I1-R1 Remote Business Review Procedure

## Appendix G: Definitions

For the CSi, WaterMark-Product Certification Services, the definitions in the following documents apply.

- Manual for the WaterMark Certification Scheme
- AS/NZS ISO 9000 Quality management systems – Fundamentals and vocabulary
- AS/NZS 3500.0, Plumbing and drainage, Part 0: Glossary of terms.

apply in addition to the following definitions:

### 5.1. ABCB

The Australian Building Codes Board.

### 5.2. Applicant

The individual or legal entity, that has applied for the CSi, WaterMark-Product Certification Services, and the use of the WaterMark Trademark.

### 5.3 Batch

A group of products, clearly identifiable and manufactured consecutively or continuously, under the same conditions utilising the same materials/components. Batch testing may be conducted by the manufacturer's approved laboratory or an accredited testing laboratory. The manufacturers capability for batch release shall be verified by CSi at the initial, surveillance and recertification, business reviews.

### 5.4 Certified Product

Product for which an Approved User, may apply the WaterMark to demonstrate the product conforms to the, Product Specification/s, specified on the WaterMark Licence, Product Compliance Schedule, and all other aspects of the CSi, WaterMark, Product Certification Services.

### 5.5 Continuous Compliance Inspection

Business Review of the manufacturing facility conducted by CSi or an authorised representative of CSi prior to the issue or re-issue of the WaterMark Licence. Ongoing Annual Surveillance Review, at either the Manufacturer/Distributor, Warehouse or Product selected from the Marketplace and reviewed at a location chosen by CSi. Review of product complaints, product markings, claims associated with the product, Installation instructions, WaterMark Scope of Use, characteristics/critical attributes of the product against the Product Specification, product drawings, inspection and batch test review as per the Product Specification, Quality Plan.

### 5.6 Design Freeze

Once the final plumbing product design has been Type Tested in an approved test laboratory and certified by CSi as compliant with the requirements of the WaterMark Scheme, none of the aspects of approved design, which may adversely affect compliance of the product with respect to the Product Specification, or any other regulatory requirements, may be changed without the written approval of CSi.

## 5.7 JASANZ

Joint Accreditation System of Australia and New Zealand

## 5.8 Lead-Free

The term 'lead free' is defined in PCA 2022 as, "Where a plumbing product or material in contact with drinking water has a weighted average lead content of not more than 0.25%".

## 5.9 Licence Holder/Approved User

The organisation whose legal identity has been granted the right to use the registered WaterMark on product or authorised marketing materials, which demonstrates compliance with the, Product Specification/s. The Licence Holder / Approved User warrants the product complies with the WaterMark Scheme and is responsible for the product in the marketplace. The Licence Holder / Approved User may be the manufacturer of the product or their acknowledged agent.

## 5.10 Manufacturing Site/Location

The manufacturing site location is where assembly, batch release testing, final release, and shipment of the WaterMark product for sale, occurs.

## 5.11 Manual

The word Manual is used as the reference to the, Manual for the WaterMark Certification Scheme.

## 5.12 NCC

The Australian "National Construction Code" *refer to the, ABCB website, for further details.*

## 5.13 Non-Conforming Product

Product intended to be incorporated into the final, assembled, WaterMark Product, which does not conform with the Product Specification /s, or is unfit for use in the final, assembled product.

## 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 manufactured to conform with the Product Standard – WMTS, Manual for the WaterMark Certification Scheme and, **CSI** document, PAS-007-WM-WaterMark - Rules & Requirements. A Non-Conformity requires immediate corrective action. Products shall not be produced and marked with the WaterMark 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 or cancellation of an application or WaterMark certification.

**Improvement Request (IR)** - Applies where a non-conformity is observed in a particular requirement of the Product Standard – WMTS, Manual for the WaterMark Certification Scheme and, **CSI** document, PAS-007-WM-WaterMark - Rules & Requirements, which is likely to compromise compliance if no remedial action is taken to correct the non-conformity. IR's 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. WaterMark 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.

## 5.14 Notice of Direction

In accordance with Clause 5(c) of the Australian Competition Consumer Commission (ACCC) approved Trademark Rules, from time to time the Australian Building Codes Board will issue Notices for maintaining the integrity, validity, and ownership of the WaterMark trademark. The Trademark Rules are available at Appendix 1 of the Manual for the WaterMark Certification Scheme.

The Notices of Direction forms an extension of the ACCC approved Trademark Rules. Relevant stakeholders must comply with the current, Notices of Direction. <https://watermark.abcb.gov.au/certification/notices-direction>

## 5.15 Product

New appliances, products, materials, and components subject to the WaterMark certification.

## 5.16 PCA

Plumbing Code of Australia, Volume Three of the, NCC manuals.

## 5.17 Quality Management System – Documentation

A documented system which includes specific, work processes, work instructions, reporting requirements, implemented, and maintained by the Approved User.

#### 5.18 Recognised Test Laboratory

A recognised test laboratory is defined as being one of the following.

- a) Accredited by the National Association of Testing Authorities (NATA) having a scope of accreditation covering the testing requirements of the applicable Product Specification /s.
- b) Accredited by an International Laboratory Accreditation Cooperation (ILAC) Mutual Recognition Arrangement (MRA) signatory and having a scope of accreditation covering the testing requirements of the applicable Product Specification /s.
- c) Recognised by CSi following evaluation of the laboratory's compliance with the requirements of AS ISO/IEC 17025. *Refer to CSi document, PASF\_008 SMT Report.*

#### 5.20 Regulator Authority/Body

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

#### 5.21 Specification

Standard, WaterMark Technical Specification, Industry Scheme/Code, or recognised international Product Specification/s, or another published document.

#### 5.22 Type Test

Initial test or series of tests intended to determine the conformance of the plumbing product with the requirements of the Product Specification/s. Type Testing shall be undertaken at a Recognised Test Laboratory.

#### 5.23 WaterMark

Registered trademark of the, Commonwealth of Australia, administered by the ABCB, and used on conforming plumbing product.

#### 5.24 WaterMark Register

The publication listing of all certified plumbing products, which can be found at the ABCB website.

<http://www.abcb.gov.au/product-certification/watermark/watermark-search>.

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