

# DRAFT FOR PUBLIC CONSULTATION

**NOT GOVERNMENT POLICY**

## CodeMark Scheme Rules 2022-1

These product certification scheme rules are made by the chief executive of the Ministry of Business, Innovation and Employment under section 272E of the *Building Act 2004*.

## Preface

This document contains the rules for the CodeMark scheme, which is a voluntary product certification scheme established under the *Building Act 2004* (the Act) and the Building (Product Certification) Regulations 2008 (the Regulations).

The CodeMark scheme provides an easily understood and robust way to show that a building product or building method meets the requirements of the New Zealand Building Code. That is because CodeMark certified products must be accepted by building consent authorities as compliant with the Building Code when used in accordance with any limitations on the product certificate.

CodeMark certification is suitable for any product that is consistently produced. However, it is particularly beneficial for manufacturers and suppliers of building products or building methods that are new to the market, or would have serious consequences if they failed. CodeMark also has marketing advantages for manufacturers and suppliers as they can use the CodeMark mark of conformity (a registered trade mark) in advertising, and as all certified products are listed on a publicly accessible register maintained by the Ministry of Business, Innovation and Employment (MBIE).

While the CodeMark scheme has already been operating in Aotearoa New Zealand for over a decade, it has been substantially revised as part of a wider building reform programme developed by MBIE to improve the overall efficiency and quality of building work. Changes to the Act and the Regulations, which took effect from September 2022, and associated revisions to these scheme rules allow for stronger oversight by MBIE as scheme owner, including through new registration requirements for product certification bodies and product certificates. Overall, these changes are intended to improve confidence in the CodeMark scheme and lift the quality of product certificates to support more efficient consenting, while still enabling product innovation.

## Document status

The scheme rules in this document have been made by the chief executive of MBIE and take effect from *[the commencement date, which will be on, or before 7 September 2022]*. They replace *The CodeMark Scheme Rules - Australia and New Zealand Version 2009.1*, published on 27 March 2009 and the Joint Accreditation System of Australia and New Zealand's (JAS-ANZ) *Policy Number 01/10 Changes to the CodeMark Scheme Rules*, published 15 January 2010.

Document history		
Status	Commencement date	Alterations
Version 2022-1	<i>[date]</i>	-

Please check for any updates to the scheme rules on MBIE's website at [www.building.govt.nz](http://www.building.govt.nz)

## Contact us

For further information about the CodeMark scheme, including details of registered product certificates and registered product certification bodies, visit MBIE's website at [www.building.govt.nz](http://www.building.govt.nz) or contact us at the address below. Please note that any complaints from certificate holders about certification will be directed to the responsible product certification body in the first instance.

### **Contact:**

*[Contact details will be provided on publication of the scheme rules]*

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# Introduction

## Objective and scope

The objective of the CodeMark scheme in Aotearoa New Zealand is to provide confidence to regulatory authorities and the market regarding the conformity of certified building products and building methods with the requirements of the Building Code, as well as confidence in the accuracy and comprehensiveness of the associated product certificates.

The CodeMark scheme applies to building products and building methods that are consistently manufactured and are intended for use in New Zealand.

The CodeMark scheme rules (the scheme rules) apply to the scheme parties as identified in section 272E of the *Building Act 2004* (the Act), which are:

- (a) the product certification accreditation body (the accreditation body), which is appointed by the Ministry of Business, Innovation and Employment (MBIE) under section 261 of the Act and is responsible for accrediting product certification bodies (PCB) to the CodeMark scheme
- (b) all accredited and/or registered PCBs, which are third-party organisations responsible for evaluating building products and building methods for certification, and
- (c) all proprietors of building products and building methods that have current product certificates, whether or not these certificates are registered with MBIE.

The scheme rules will also be of interest to manufacturers and suppliers interested in achieving CodeMark certification as well as to building consent authorities, designers, builders, and other users of certified products.

## The scheme rules are secondary legislation

The scheme rules are secondary legislation for the purposes of the *Legislation Act 2019*. They form part of a broader system for managing product certification in New Zealand (refer to Figure 1 and Appendix 1) which has specific requirements contained in:

- (a) the Act
- (b) Building (Product Certification) Regulations 2008 (the Regulations)
- (c) any other regulations and other statutory instruments (including any notice required to be published in the *New Zealand Gazette*) made under the Act, as amended from time to time
- (d) the scheme rules, and
- (e) any national/international Standards or other documents included by reference in the Regulations or the scheme rules.

MBIE is responsible for the management and oversight of the CodeMark scheme. MBIE’s responsibilities include publishing and maintaining the scheme rules, registering PCBs and product certificates, and providing public registers of:

- (a) all registered PCBs, plus details of anyone whose registration as a PCB has been suspended (this register is available at [www.building.govt.nz](http://www.building.govt.nz)), and
- (b) all registered product certificates (available at [www.building.govt.nz](http://www.building.govt.nz)).

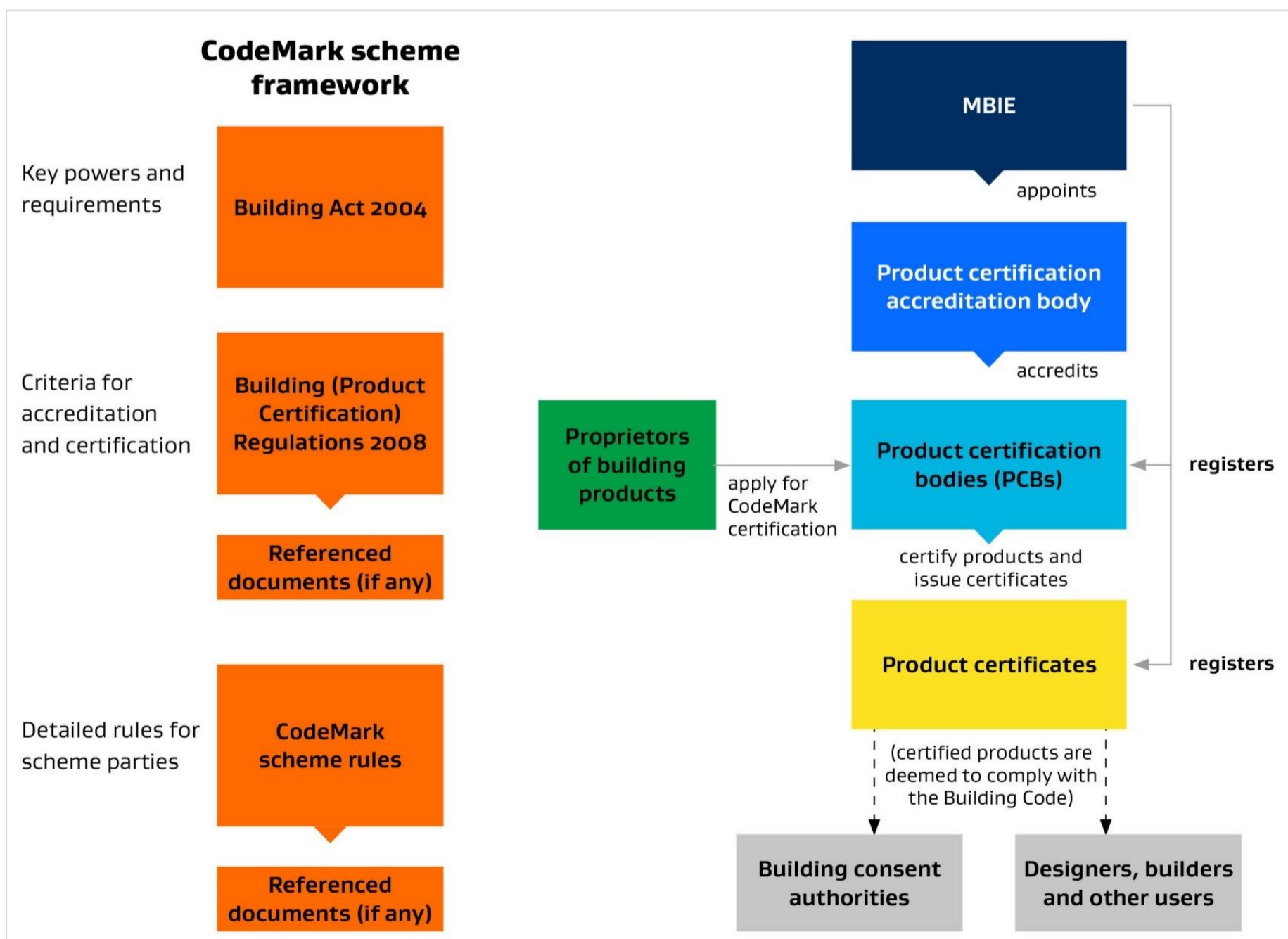


Figure 1: The system for managing product certification

# Part 1: Preliminary provisions

## NOTES FOR PUBLIC CONSULTATION:

The Regulations in force at the time of this consultation are the Building (Product Certification) Regulations 2008. Revisions to these Regulations are expected to take effect on or before 7 September 2022. Any references in this document to ‘regulation [X]’ are placeholders and will be updated before the scheme rules are made.

1.1 Referenced documents									
1.1.1	The international Standards and any other documents referred to in the scheme rules are the editions, along with their specific amendments (if any), listed below.								
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1.2 Interpretation																					
1.2.1	Schedule 1 is operative and forms part of the scheme rules, while Appendix 1 is provided for information and guidance only.																				
1.2.2	Any text in shaded boxes at the start of a Part or Schedule 1, and any text in shaded boxes under a rule and headed ‘Guidance’, does not form part of the scheme rules but is provided for information only.																				
1.2.3	Unless otherwise noted, references to sections are to sections of the <i>Building Act 2004</i> and references to Regulations are to the Building (Product Certification) Regulations 2008.																				
1.2.4	Terms used in the scheme rules have the meanings ascribed to them below unless the context requires otherwise.																				
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	<p>(b) is declared by the Governor-General by Order in Council to be a building product.</p> <p>(2) However, a product that would otherwise be a building product under subsection (1)(a) is not a building product if it is declared by the Governor-General by Order in Council not to be a building product.</p> <p>(3) In determining whether something could reasonably be expected to be used as a component of a building, the following are relevant considerations:</p> <p>(a) the purposes for which the thing is ordinarily used:</p> <p>(b) purposes for which the manufacturer or supplier intends the thing to be used:</p> <p>(c) the purposes for which the thing is represented as being used for:</p> <p>(d) the purposes for which the thing is likely to be used (because of the way in which it is presented or for any other reason).</p> <p>(4) The matters listed in subsection (3) are relevant, but not determinative, considerations and do not limit what may be considered.</p> <p>(5) An Order in Council made under this section is secondary legislation (see Part 3 of the Legislation Act 2019 for publication requirements).</p>
CAR	Corrective Action Request
Certificate	See product certificate
Certificate holder [definition to be revised if necessary when regulations are updated]	Has the meaning given to it in regulations: <b>Certificate holder</b> means the proprietor of a building method or building product to whom a certificate has been issued in respect of the building method or building product
Chief executive	The chief executive of MBIE
Code	See Building Code
CodeMark scheme	The CodeMark scheme in New Zealand for certifying building products and building methods
Critical component	Any component of a product that the PCB considers is critical to the product's Building Code compliance; ie likely to present a risk to the product's compliance if it failed
Critical nonconformity	See nonconformity
Evaluation plan	In relation to a building product or building method, means a plan that sets out— (a) what is to be certified (including scope and limitations of use); and (b) the means by which it will be demonstrated that the building product or building method meets the product certification criteria; and (c) (c) the timing and method of the audits and inspections to be carried out to ensure that the building product or building method continues to meet the product certification criteria
IEC	International Electrotechnical Commission
Intended use	Has the meaning given to it in section 7 of the Act: <b>intended use</b> , in relation to a building,— (a) includes any or all of the following: i) any reasonably foreseeable occasional use that is not incompatible with the intended use: ii) normal maintenance: iii) activities undertaken in response to fire or any other reasonably foreseeable emergency; but (b) does not include any other maintenance and repairs or rebuilding
ISO	International Organization for Standardization
Major nonconformity	See nonconformity
Mark of conformity [definition to be revised if necessary when regulations updated]	Has the meaning given to it in regulations: <b>Mark of conformity</b> means a symbol, approved by the chief executive, that signifies that products marked with it or to which it is attached meet the criteria and standards specified in regulation 10 [criteria and standards for certification]  In these scheme rules, refers to the CodeMark mark of conformity which is associated with the CodeMark scheme in New Zealand and is a registered trade mark under the Trade Marks Act 2002.
Minor nonconformity	See nonconformity
MBIE	Ministry of Business, Innovation and Employment
Nonconformity	Finding that demonstrates an instance of non-fulfilment of specified requirements. Nonconformities can be minor, major or critical:  Minor nonconformity: the potential impact is not likely to compromise Building Code compliance (eg aspects of the quality plan are not being followed but because of other factors compliance is not compromised) Major nonconformity: the potential impact is likely to compromise Building Code compliance if no remedial action is taken to correct it within a specified period Critical nonconformity: the potential impact is considered to compromise Building Code compliance
PCB	See Product certification body
Person	Has the meaning given to it in section 7 of the Act: <b>person</b> includes— (a) the Crown; and (b) a corporation sole; and (c) a body of persons (whether corporate or unincorporate)
Post-manufacture surveillance	Surveillance of a certified building product or building method that is a tangible product, conducted after manufacture, to assess whether it is materially the same as any sample that was evaluated
Product certificate	Has the meaning given to it in section 7 of the Act: <b>Product certificate</b> means a certificate issued under section 269 of the Act in relation to a building product or building method
Product certification accreditation body	A person appointed by the chief executive of MBIE under section 261 of the Act to assess and accredit product certification bodies for the CodeMark scheme
Product certification body (PCB)	A person who evaluates and certifies building products and building methods Also see: accredited PCB, registered PCB, responsible PCB
	<b>Guidance:</b> A PCB must be accredited (by the product certification accreditation body) and registered (by MBIE) to issue product certificates under the CodeMark scheme.

Quality plan	In relation to a building product or building method, means the quality plan submitted under regulation [X] of the Regulations in relation to the building product or building method
Registered PCB	Has the meaning given to it in section 7 of the Act: <b>registered PCB</b> means a person who has been registered as a product certification body under section 267A and whose registration is not suspended and has not been revoked
Registered product certificate	Has the meaning given to it in section 7 of the Act: <b>registered product certificate</b> means a product certificate that has been registered under section 272A and the registration for which is not suspended and has not been revoked
Regulations	Building (Product Certification) Regulations 2008
Remote audit	An audit of a facility conducted using information and communications technology by an auditor who is not located at the site where the audited processes are performed.
Responsible PCB	Has the meaning given to it in section 7 of the Act: <b>responsible PCB</b> , in relation to a product certificate or the proprietor of the building product or building method to which it relates, means— (a) the registered PCB that issued the certificate; or (b) if the certificate has been reviewed under section 270 of the Act by a different registered PCB, the registered PCB who conducted the most recent review under that section
Scheme	See CodeMark scheme
Scheme rules	These rules for the CodeMark scheme in New Zealand
Standard	Capitalised (ie Standard): refers to a published national or international Standard Not capitalised (ie standard): where this word appears in AS/NZS ISO/IEC 17065 or any other document associated with, related to, or required to be read with the CodeMark scheme, means the criteria and standards for product certification prescribed in the Regulations and the scheme rules
Type test	Testing of a building product to establish the basis for certification; ie conformity with the applicable Building Code requirements for its intended use(s)
Verification method	Has the meaning given to it in section 7 of the Act: <b>verification method</b> means a verification method issued under section 22(1) Verification Methods are produced by MBIE and, if followed, must be accepted by a building consent authority as evidence of compliance with the Building Code.
Working day	Has the meaning given to it in section 7 of the Act

## Part 2: Accreditation body requirements

This Part contains requirements for the accreditation body, which is responsible for accrediting PCBs and checking they continue to meet the accreditation requirements.

Note that PCBs must also be registered by MBIE before they can certify building products or building methods under the CodeMark scheme.

2.1.	The accreditation body must— <ul style="list-style-type: none"><li>(a) inform the chief executive of any proposed limitations to a PCB's scope of accreditation, where factors determining that scope may include, but are not limited to, types of building product or building method; and</li><li>(b) only use the mark of conformity in accordance with Schedule 1: Use of the mark of conformity; and</li><li>(c) review its accreditation decisions in the event of any amendments to the Building Code or any other document relevant to the CodeMark scheme including the Act, the Regulations, the scheme rules, any documents included by reference in the Regulations or the scheme rules, or any relevant New Zealand <i>Gazette</i> notice, and take appropriate action to ensure that compliance with the Building Code and the CodeMark scheme requirements is maintained; and</li><li>(d) in addition, if requested by the chief executive, conduct an audit on an accredited PCB and investigate matters of concern or complaint of which the chief executive becomes aware; and</li><li>(e) provide the chief executive with copies of reports to be prepared by the accreditation body regarding its assessments, audits and investigations of PCBs.</li></ul>
2.2.	When conducting a surveillance audit of a PCB the accreditation body must review— <ul style="list-style-type: none"><li>(a) the PCB's policies, procedures and systems with respect to the CodeMark scheme to ensure that:<ul style="list-style-type: none"><li>i) these are fit for purpose; and</li><li>ii) staff and contractors are familiar with the relevant requirements for their conduct of any certification activities; and</li><li>iii) the PCB's policies, procedures and systems have been consistently and effectively implemented to deliver appropriate outcomes; and</li></ul></li><li>(b) the PCB's certification process, including:<ul style="list-style-type: none"><li>i) any product certificate for which the PCB has become the responsible PCB since the previous surveillance audit by conducting a review under section 270(3); and</li><li>ii) a sample of other product certificates, taking into account the number of certificates issued by the PCB (if any) since the previous surveillance audit; and</li></ul></li><li>(c) any complaints received by the PCB since the previous surveillance audit; and</li><li>(d) any other matter the accreditation body considers appropriate.</li></ul> <p><b>Guidance:</b> The accreditation body conducts a surveillance audit of an accredited PCB at least once every two years and a full technical reassessment audit at least once every five years (these requirements are specified in a New Zealand <i>Gazette</i> notice).</p>



## Part 3: Product certification body requirements

This Part contains detailed requirements for PCBs, which are responsible for evaluating building products and building methods for CodeMark certification. If a PCB decides to certify a building product or building method it will issue a product certificate which, when registered by MBIE, provides evidence to building consent authorities and other users that the building product or building method it relates to complies with the Building Code (when used in accordance with any limitations on the certificate).

PCBs must review product certificates at least once a year to confirm that the building product or building method still complies with the certification criteria.

MBIE maintains a publicly accessible register of registered PCBs and any PCBs whose registration is currently suspended, at [www.building.govt.nz](http://www.building.govt.nz). MBIE also maintains a register of product certificates, at [www.building.govt.nz](http://www.building.govt.nz).

3.1 General requirements	
3.1.1.	<p>A PCB must—</p> <ul style="list-style-type: none"> <li>(a) only use the mark of conformity in accordance with Schedule 1: Use of the mark of conformity; and</li> <li>(b) in the event of any amendment to the Building Code or any other document relevant to the CodeMark scheme rules that may affect any current product certificates the PCB is responsible for: <ul style="list-style-type: none"> <li>i) review all its certification decisions within three months of the amendments taking effect; and</li> <li>ii) take appropriate action at the end of the three-month period to ensure compliance with the amendments; and</li> </ul> </li> <li>(c) conduct an additional audit of a building product or building method for the purposes of reviewing a product certificate if directed in writing by the accreditation body or the chief executive, taking into account any matters they may identify, and report the outcome of this audit to the accreditation body and the chief executive; and</li> <li>(d) inform the accreditation body within 20 working days of the end of each quarter of: <ul style="list-style-type: none"> <li>i) the number and type of active CodeMark applications in its system, including the scope of these applications and anticipated audit and inspection timeframes; and</li> <li>ii) any product certificates it has become the responsible PCB for during the quarter by conducting a review under section 270(3); and</li> </ul> </li> <li>(e) inform the chief executive in writing within five working days of any changes to the information provided under regulation [X] of the Regulations [<i>regulation concerning registration of PCBs</i>]; and</li> <li>(f) provide all relevant information requested by the chief executive as soon as reasonably practicable to assist with any: <ul style="list-style-type: none"> <li>i) audit of the PCB under section 267B; and</li> <li>ii) decision whether to suspend or lift a suspension of registration of the PCB; and</li> <li>iii) decision whether to suspend or to lift a suspension of registration of a product certificate.</li> </ul> </li> </ul>
3.1.2.	A PCB must comply with all applicable requirements under AS/NZS ISO/IEC 17065:2013 (Conformity assessment – requirements for bodies certifying products, processes and services).
3.1.3.	<p>A PCB must ensure that with respect to staff and contractors carrying out its product certification functions—</p> <ul style="list-style-type: none"> <li>(a) there is appropriate training and competence assessment for these staff and contractors; and</li> <li>(b) their performance is monitored; and</li> <li>(c) if current staff and contractors do not have the necessary competencies for a particular task, there is a documented process for identifying and obtaining the services of those who do.</li> </ul>
3.1.4.	<p>Competencies the PCB must maintain, or have a documented process to obtain, include, but are not limited to:</p> <ul style="list-style-type: none"> <li>(a) a detailed, current knowledge of the New Zealand building regulatory system; in particular, of: <ul style="list-style-type: none"> <li>i) the Building Code and means of compliance with the Building Code (including the Acceptable Solutions and Verification Methods) and other supporting information (including Standards, industry codes of practice, other documents referenced in the Acceptable Solutions and Verification Methods, determinations made by the chief executive under Part 3 of the Act, and guidance published by the chief executive under section 175)</li> <li>ii) the application of the Building Code to building products and building methods</li> </ul> </li> <li>(b) an understanding of, and experience in, assessment of solutions that demonstrate compliance directly with the Building Code's performance requirements, including how tests carried out to international and national Standards may be related to these requirements</li> <li>(c) knowledge of relevant New Zealand and international building Standards and industry practices</li> <li>(d) an understanding of quality management Standards</li> <li>(e) an understanding of basic engineering and architectural principles as applied to buildings (eg how structures perform)</li> <li>(f) an understanding of the principles of building physics</li> <li>(g) an understanding of the performance of building products in response to the physical actions and environments they are exposed to in buildings</li> <li>(h) an understanding of risk assessment (likelihood and consequence of failure) and its mitigation</li> <li>(i) an understanding of, and experience in, product testing, evaluation and review</li> <li>(j) an understanding of how construction site practices and conditions affect the buildability of a building product or implementation of a building method</li> <li>(k) an understanding of, and experience in, assessing quality management plans</li> <li>(l) experience in manufacturing site audits and installation inspections.</li> </ul> <p><b>Guidance:</b> While a single person may possess more than one of these competencies, the requirements are likely to be covered by several staff and contractors.</p>
3.1.5.	A PCB's procedures for certifying a building product or building method must be in accordance with the rules in 3.2 Evaluation.
3.1.6.	A PCB's procedures for reviewing a product certificate must be in accordance with rules in 3.4 Surveillance.

3.1.7.	<p>A PCB must record its decisions relating to its product certification functions, including the reasons for and outcomes of these decisions. This includes keeping detailed written notes of the technical rationale for its decisions to approve or reject information at key stages of the certification process, including its reviews of:</p> <ul style="list-style-type: none"> <li>(a) the application for certification; and</li> <li>(b) the evaluation plan; and</li> <li>(c) test reports, inspection reports, audit reports, and technical opinions as evidence to support certification; and</li> <li>(d) the recommendation for certification.</li> </ul>
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### 3.2 Evaluation

3.2.1	<p>When considering whether a building product or building method complies with the criteria and standards for certification a PCB must evaluate it in accordance with rules 3.2.2. to 3.2.28.</p> <p><b>Guidance:</b> Figure 2 illustrates key stages in the evaluation process.</p>
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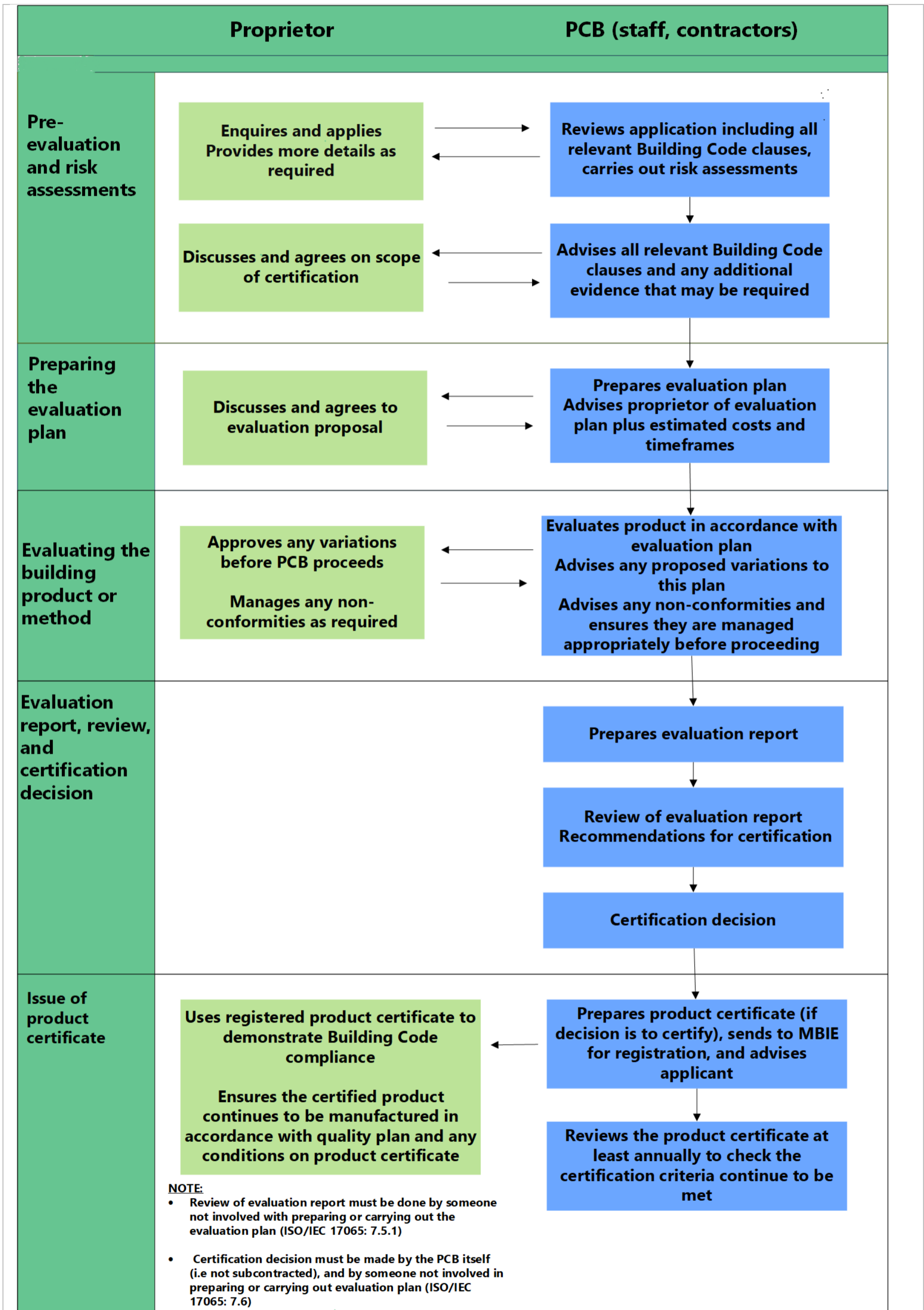


Figure 2: The evaluation process

**Pre-evaluation and risk assessments**

- 3.2.2 When considering an application for certification the PCB must examine the building product or building method, its uses and installation to:
- (a) determine its exact nature; and
  - (b) identify any critical components; ie components the PCB considers critical to Building Code compliance; and
  - (c) ensure that all Building Code clauses applicable to its intended use(s) and possible limitations have been identified; and
  - (d) verify that the specification and claims provided by the applicant are capable of being evaluated; and
  - (e) help determine the appropriate method of evaluation.

**Guidance:**

This process may include a pre-evaluation visit to the manufacturing site and/or a construction site if the PCB considers this is appropriate.

- 3.2.3 The PCB must carry out risk assessments for building products with respect to manufacture and installation, and for building methods with respect to installation, in accordance with Table 1 to develop a conformity assessment profile and determine minimum audit and inspection requirements.

- 3.2.4 The PCB must complete and retain records demonstrating technically justifiable rationales for the consequence and likelihood scores assigned while carrying out a risk assessment.

**Table 1: Risk assessment steps**

<b>Step 1</b>	Consider the consequences of failure of the building product or building method in its intended use(s) and the impact with respect to the building, its occupants, or other property, and assign a consequence score between 1 and 3, where: 3 – major impact 2 – moderate impact 1 – minor impact.
	<b>Guidance:</b> The consequence score considers what could happen if any building product or building method with these intended uses were to fail.
<b>Step 2</b>	For building products only (for building methods, go to Step 6): Identify factors with the potential to affect the building product’s Building Code compliance during <b>manufacture</b> , considering at least the following: (a) nature of product materials, variability of raw materials, history of quality and process control, and complexity of manufacture (b) extent and nature of sampling and testing, including whether onsite production testing is available, and standard of testing facilities (c) number of sites involved in manufacture, assembly, and related activities (d) nature of certificate holder, eg importer, manufacturer (e) nature of manufacturer including factors relating to location and whether remote audits are proposed, length of time in operation, familiarity or otherwise with product being considered for certification (f) skill level of employees at the manufacturing site, and number of employees involved with production and quality (g) manufacturing conditions and controls for possible contamination during manufacture (h) ease of rectification.
<b>Step 3</b>	Consider the likelihood of non-compliance with respect to each factor identified, based on current controls (as known by the PCB through its pre-evaluation activities), and assign a likelihood score between 1 and 3 where: 3 – very likely 2 – likely 1 – unlikely.
	<b>Guidance:</b> The likelihood score considers the residual risks with respect to the specific building product or building method being evaluated.
<b>Step 4</b>	Multiply the highest likelihood score with the consequence score to establish a risk rating with respect to manufacture.
<b>Step 5</b>	Apply the risk rating to <b>Table 2</b> to establish minimum requirements for <b>manufacturing site audits</b> during evaluation and also during surveillance (if the building product is certified), in accordance with rules 3.2.21 to 3.2.22.
<b>Step 6</b>	Repeat Steps 2-4 to establish a risk rating for building products or building methods with respect to <b>installation</b> , replacing the factors in Step 2 with the following: (a) complexity of installation (b) required skill level, including whether trained applicators or installers are required (c) training materials (if any) and likelihood of there being insufficiently skilled installers (d) quality of the installation instructions (a) co-ordination of step-by-step installation process / trades, installers, materials (e) importance of ‘order of construction’ (f) interaction (if any) with other building products or components (g) effects of exposure from the elements or physical damage to the product before, during or after installation (h) whether other onsite conditions are likely to be detrimental to installation (i) accessibility of product following installation.
<b>Step 7</b>	Apply the risk rating to <b>Table 3</b> to establish minimum requirements for <b>installation inspections</b> during evaluation and also during surveillance (if the building product is certified), in accordance with rules 3.2.23 to 3.2.24.

**Table 2: Risk-related requirements for manufacturing site audits (building products)**

Risk assessment matrix		Consequence		
		3	2	1
Likelihood	3	<b>9:</b> Initial and annual audits at manufacturers of building product and critical components (refer to rule 3.2.5)	<b>6:</b> Initial and two-yearly audits at manufacturers of building product and critical components (refer to rule 3.2.5)	<b>3:</b> Initial and three-yearly audits at manufacturer of building product
	2	<b>6:</b> Initial and two-yearly audits at manufacturers of building product and critical components (refer to rule 3.2.5)	<b>4:</b> Initial and two-yearly audits at manufacturers of building product and critical components (refer to rule 3.2.5)	<b>2:</b> Initial and three-yearly audits at manufacturer of building product
	1	<b>3:</b> Initial and three-yearly audits at manufacturer of building product	<b>2:</b> Initial and three-yearly audits at manufacturer of building product	<b>1:</b> Initial and three-yearly audits at manufacturer of building product

**KEY:**

- Risk rating of 9: Very low level of confidence in manufacturer
- Risk ratings of 4-6: Low level of confidence in manufacturer
- Risk ratings of 1-3: Normal level of confidence in manufacturer

**Table 3: Risk-related requirements for installation inspections (building products and building methods)**

Risk assessment matrix		Consequence		
		3	2	1
Likelihood	3	<b>9:</b> Initial and annual inspections (refer to rule 3.2.5)	<b>6:</b> Initial and three-yearly inspections (refer to rule 3.2.5)	<b>3:</b> No minimum requirements
	2	<b>6:</b> Initial and three-yearly inspections (refer to rule 3.2.5)	<b>4:</b> Initial and three-yearly inspections (refer to rule 3.2.5)	<b>2:</b> No minimum requirements
	1	<b>3:</b> No minimum requirements	<b>2:</b> No minimum requirements	<b>1:</b> No minimum requirements

**KEY:**

- Risk rating of 9: Very low level of confidence in installation consistency
- Risk ratings of 4-6: Low level of confidence in installation consistency
- Risk ratings of 1-3: Normal level of confidence in installation consistency (no more than common building trades required)

**Guidance:**

While there are no risk-related requirements for post-manufacture surveillance, this may still be required or considered appropriate in some circumstances (refer to rules 3.4.3 and 3.4.4).

3.2.5 The PCB may use its discretion to reduce the frequency of surveillance audits or inspections specified in Table 2 and Table 3 with respect to the building product, building method or any critical components, but only if—

- (a) the PCB completes and retains records demonstrating a technically justifiable rationale for reducing this frequency and the factors it has taken into account (eg outcomes of previous risk assessments, any nonconformities identified in the previous audit); and
- (b) this frequency is reduced to not less than once every three years.

3.2.6 After considering the application for certification, the PCB must inform the applicant of—

- (a) all Building Code clauses the PCB considers applicable to the building product’s or building method’s intended use(s) as described in the application for certification; and
- (b) any additional tests or evidence the PCB considers may be required with respect to these Code clauses.

**Preparing the evaluation plan**

3.2.7 The PCB must prepare an evaluation plan and an evaluation methodology that includes—

- (a) a defined scope and any limitation of use; and
- (b) a demonstration that the PCB has considered all Building Code clauses applicable to the scope of certification; and
- (c) detailed specification; and
- (d) acceptance criteria for technical literature; and

	<p>(e) means of conformity assessment including tests, audits and inspections, including an assessment of the extent of any manufacturing site audits and installation inspections required in accordance with the completed risk assessments and the following considerations:</p> <ul style="list-style-type: none"> <li>i) nature of the building product or building method and production processes</li> <li>ii) specific requirements of the Building Code</li> <li>iii) the quality plan for the building product or building method and any critical components</li> <li>iv) method of installation or use</li> <li>v) interaction with other components and materials; and</li> <li>vi) need to evaluate installation instructions or construction manuals by observation onsite; and</li> </ul> <p>(f) manufacturing quality audit plan; and</p> <p>(g) installation inspection plan (where applicable); and</p> <p>(h) the timing and method of the audits and inspections to be carried out to ensure that the building product or building method continues to meet the product certification criteria.</p>
3.2.8	<p>If the PCB determines that there is no applicable national or international Standard to test the building product or building method against, it may use a non-Standards based testing method for the evaluation provided that—</p> <ul style="list-style-type: none"> <li>(a) interested parties have had the opportunity to provide input into the development of this testing method; and</li> <li>(b) the testing method has been validated prior to use.</li> </ul> <p><b>Guidance:</b> ISO/IEC 17007:2009 (Conformity assessment — Guidance for drafting normative documents suitable for use for conformity assessment) includes useful information on how to develop normative documents for this purpose. ISO/IEC 17025:2018 (General requirements for the competence of testing and calibration laboratories) contains relevant notes on techniques for validating methods.</p>
3.2.9	<p>The PCB must provide the applicant with details of—</p> <ul style="list-style-type: none"> <li>(a) the evaluation plan; and</li> <li>(b) estimated costs and timeframes for implementing the evaluation plan.</li> </ul>
3.2.10	<p>The PCB must obtain the applicant’s written approval of the evaluation plan, estimated costs and timeframes before proceeding with the evaluation.</p>
<b>Evaluating the building product or building method</b>	
3.2.11	<p>The PCB must evaluate the building product or building method in accordance with the approved evaluation plan.</p>
3.2.12	<p>If the PCB considers any changes to the approved evaluation plan are necessary, it must—</p> <ul style="list-style-type: none"> <li>(a) document the proposed changes and its reasons for them; and</li> <li>(b) obtain the applicant’s approval before proceeding.</li> </ul> <p><b>Guidance:</b> Evaluation is an iterative process which may involve updates to the risk assessments or the evaluation plan (e.g. if the situation onsite does not reflect the documentation on which the PCB based its initial risk assessments).</p>
3.2.13	<p>When evaluating the quality plan prepared in respect of the building product or building method, the PCB must—</p> <ul style="list-style-type: none"> <li>(a) take into account the requirements in rules 4.2 to 4.3; and</li> <li>(b) ensure that the quality plan covers any critical components the PCB has identified; and</li> <li>(c) in the case of a building product, ensure the applicant has a traceability process that can trace the building product back to the inspection and test records providing the basis for its release from the factory; and</li> <li>(d) in the case of a building product, ensure the applicant has either: <ul style="list-style-type: none"> <li>i) prepared and authorised a product recall procedure; or</li> <li>ii) entered into a written agreement undertaking to cooperate with the recall procedure developed by the New Zealand supplier of its building products.</li> </ul> </li> </ul>
3.2.14	<p>In the case of a building product or building method that is a tangible product the PCB must test, or arrange for the testing of, samples supplied to ascertain whether this product meets the criteria and standards specified in regulation [X] of the Regulations.</p>
3.2.15	<p>A PCB must only accept a type test report from a testing facility accredited to NZS ISO/IEC 17025:2018 (General requirements for the competence of testing and calibration laboratories) for that test, unless the PCB is satisfied it is not reasonable to do so.</p>
3.2.16	<p>In assessing whether it is not reasonable a PCB may consider whether—</p> <ul style="list-style-type: none"> <li>(a) there is a lack of availability of accredited facilities for that test; and</li> <li>(b) requiring a test report from an accredited facility would be unduly onerous due to cost; and</li> <li>(c) the PCB has previously accepted the test report as part of certification for a building product or building method with a current product certificate and is now reviewing the certification for the same building product or building method; and</li> <li>(d) there are commercial, competitive or intellectual property reasons that prevent the certificate holder from using a facility accredited for that test; and</li> <li>(e) requiring a test report from an accredited facility would be inappropriate given the level of risk associated with that test; and</li> <li>(f) the PCB considers the certificate holder has made all reasonable attempts to use a facility accredited for that test.</li> </ul>
3.2.17	<p>If the PCB assesses that it is not reasonable it—</p> <ul style="list-style-type: none"> <li>(a) must record the decision and rationale for that decision; and</li> <li>(b) may accept the test report; and</li> <li>(c) must provide evidence that it assessed the testing facility against the requirements of NZS ISO/IEC 17025 sections 6 and 7 in relation to that test.</li> </ul>
3.2.18	<p>When assessing whether a test report submitted by the applicant provides evidence of product conformity the PCB must confirm that—</p> <ul style="list-style-type: none"> <li>(a) the requirements of rules 3.2.15 to 3.2.17 are met; and</li> </ul>

	<p>(b) testing has been carried out in accordance with the current versions of the applicable Standards unless there is a technically justifiable reason for accepting testing to a previous edition; and</p> <p>(c) the test report is either:</p> <ul style="list-style-type: none"> <li>i) no more than 10 years old at the application date (or if a product certificate is being reviewed, no more than 10 years at the review date); or</li> <li>ii) more than 10 years old but there is a technically justifiable reason for continuing to accept this report.</li> </ul>												
3.2.19	<p>When assessing whether a technical opinion submitted by the applicant supports evidence of product conformity the PCB must at least consider—</p> <ul style="list-style-type: none"> <li>(a) the relevance of the technical opinion to the building product or building method being evaluated; and</li> <li>(b) the expert’s competence and credibility with respect to the building product or building method being evaluated; and</li> <li>(c) the evidence supporting the technical opinion and, if it is not provided, whether the applicant has provided an acceptable justification for not providing this evidence.</li> </ul>												
3.2.20	<p>When evaluating the building product or building method the PCB must take into account the nature and significance of any nonconformities and required actions (if any) in accordance with Table 4.</p> <p><b>Table 4: Nonconformities identified during evaluation</b></p> <table border="1"> <thead> <tr> <th>Level</th> <th>Description of nonconformity</th> <th>Required action</th> </tr> </thead> <tbody> <tr> <td>Minor</td> <td>The potential impact is not likely to compromise Building Code compliance (eg aspects of the quality plan are not being followed but because of other factors compliance is not compromised).</td> <td>The evaluation may proceed unless the PCB identifies more than one related minor nonconformity, and these nonconformities collectively are likely to present a potential risk or high risk. If this is the case these nonconformities must be classified as major or critical immediately.</td> </tr> <tr> <td>Major</td> <td>The potential impact is likely to compromise Building Code compliance if no remedial action is taken to correct it within a specified period.</td> <td>The PCB must not certify the building product or building method before the nonconformity has been corrected and the PCB has verified the corrective action.</td> </tr> <tr> <td>Critical</td> <td>The potential impact is considered to compromise Building Code compliance.</td> <td> <p>The PCB must not certify the building product or building method before the nonconformity has been corrected and the PCB has verified the corrective action.</p> <p>Verifying a corrective action with respect to a critical nonconformity requires—</p> <ul style="list-style-type: none"> <li>(a) onsite verification (for manufacturing site audits or installation inspections); or</li> <li>(b) verification by testing (for product conformity failures); or</li> <li>(c) examination of revised documentation (for deficiencies in procedures or instructions).</li> </ul> </td> </tr> </tbody> </table>	Level	Description of nonconformity	Required action	Minor	The potential impact is not likely to compromise Building Code compliance (eg aspects of the quality plan are not being followed but because of other factors compliance is not compromised).	The evaluation may proceed unless the PCB identifies more than one related minor nonconformity, and these nonconformities collectively are likely to present a potential risk or high risk. If this is the case these nonconformities must be classified as major or critical immediately.	Major	The potential impact is likely to compromise Building Code compliance if no remedial action is taken to correct it within a specified period.	The PCB must not certify the building product or building method before the nonconformity has been corrected and the PCB has verified the corrective action.	Critical	The potential impact is considered to compromise Building Code compliance.	<p>The PCB must not certify the building product or building method before the nonconformity has been corrected and the PCB has verified the corrective action.</p> <p>Verifying a corrective action with respect to a critical nonconformity requires—</p> <ul style="list-style-type: none"> <li>(a) onsite verification (for manufacturing site audits or installation inspections); or</li> <li>(b) verification by testing (for product conformity failures); or</li> <li>(c) examination of revised documentation (for deficiencies in procedures or instructions).</li> </ul>
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<b>Site audits and inspections</b>													
3.2.21	<p>When conducting a manufacturing site audit for a building product the PCB must—</p> <ul style="list-style-type: none"> <li>(a) verify the factors considered in the risk assessment; and</li> <li>(b) record any potentially significant risks that are not apparent in the risk assessment; and</li> <li>(c) confirm that the building product is consistently manufactured to the ‘as tested’ technical specification; and</li> <li>(d) confirm the adequacy of processes for managing changes to product materials and specifications.</li> </ul>												
3.2.22	<p>The PCB may conduct a manufacturing site audit as a remote audit if—</p> <ul style="list-style-type: none"> <li>(a) the PCB has documented procedures for conducting remote audits and keeps detailed records of the reasons for doing so in a particular case; and</li> <li>(b) conduct of the remote audit is under the PCB’s control (for example, via video link); and</li> <li>(c) in the case where there have been two previous audits of a particular manufacturing site, at least one of these was not a remote audit.</li> </ul>												
3.2.23	<p>When carrying out an installation inspection for a building product or building method the PCB must—</p> <ul style="list-style-type: none"> <li>(a) verify the factors considered in the risk assessment; and</li> <li>(b) record any potentially significant risks that are not apparent in the risk assessment; and</li> <li>(c) confirm the practicability of installing the building product or implementing the building method; and</li> <li>(d) confirm the appropriateness and accuracy of installation or implementation instructions; and</li> <li>(e) review the recommended methods of handling and storage (where applicable); and</li> <li>(f) identify any adverse conditions that might impact on the performance of the building product or building method; and</li> <li>(g) confirm that compliance can be reliably achieved by appropriately competent installers following the instructions.</li> </ul> <p><b>Guidance:</b> Installation inspections may also be carried out to evaluate in-service performance, which acts as monitoring and confirmation of the opinions/assessment developed from laboratory testing and other means.</p>												
3.2.24	<p>The PCB may consider a demonstration of an installation (eg at a manufacturing site) as an alternative to an installation inspection at a construction site, but only if the PCB is satisfied—</p> <ul style="list-style-type: none"> <li>(a) there are no site-specific factors that render this demonstration inadequate; and</li> </ul>												

- (b) the skill level employed by those carrying out the demonstration can be matched by appropriately competent installers of the certified building product or building method at a construction site; and
- (c) the installation instructions are sufficient to enable installers of the certified building product or building method to achieve a comparable result.

### Evaluation report, review and certification decision

- 3.2.25 The PCB must keep detailed written notes during the evaluation with respect to Building Code compliance, including notes of any assessment of technical evidence submitted in support of a compliance claim.
- 3.2.26 The PCB must use the notes described in rule 3.2.25 as the basis for an evaluation report and its decision regarding certification.
- 3.2.27 The PCB must produce an evaluation report that summarises—
- (a) all aspects associated with the evaluation as identified in the evaluation plan; and
  - (b) any nonconformities; and
  - (c) any recommendations and opportunities for improvement of the building product or building method that were identified during the evaluation.
- 3.2.28 Before making a certification decision the PCB must review the evaluation report to ensure—
- (a) all aspects of the evaluation plan have been satisfied; and
  - (b) the evaluation process and evaluation report adequately address the applicable requirements of the CodeMark scheme and the Building Code.

**Guidance:**

Note that ISO/IEC 17065 clause 7.5.1 requires a review of the evaluation report to be carried out by person(s) who were not involved in the evaluation process. Also note that in many cases this review is likely to involve more than one person, as reviewers will need to understand the technical significance of the evaluation report (ie to understand testing, auditing and inspection) as well as advise on the extent to which the evaluation report addresses the applicable CodeMark scheme and Building Code requirements.

### 3.3 Product certificates and certificate numbers

- 3.3.1. When issuing a product certificate a PCB must—
- (a) assign a unique certificate number to that certificate; and
  - (b) ensure the certificate number is a consecutive number derived from the block of numbers allocated to the PCB by the chief executive or the accreditation body; and
  - (c) prefix the certificate number with CMNZ (eg CMNZ12345); and
  - (d) must not add any other text or numbers to the certificate number.

**Guidance:**

The Regulations require the product certificate to include a version number as well as a certificate number. PCBs can use their discretion when choosing a suitable format for doing this. An example of a suitable format is the certificate number followed by the version number (eg CMNZ12345 v1).

### 3.4 Surveillance

- 3.4.1. When reviewing a product certificate under section 270 of the Act, the PCB must—
- (a) identify any nonconformities and act on these in accordance with Table 5; and
  - (b) inform the certificate holder of the required actions.

**Table 5: Nonconformities identified during surveillance**

Level	Description of nonconformity	Initial action:	If the CAR is not closed out by the agreed date:
Minor	The potential impact is not likely to compromise Building Code compliance (eg aspects of the quality plan are not being followed but because of other factors compliance is not compromised).	The PCB must raise a Corrective Action Request (CAR) with respect to the nonconformity and agree a suitable closeout date with the certificate holder which reflects the potential impact of the nonconformity and how easily it can be rectified.	The PCB must review the reasons for not closing out the CAR with the certificate holder and, depending on the nature of the nonconformity and its potential to affect compliance, either: <ul style="list-style-type: none"> <li>(a) determine that a minor nonconformity still exists, cancel the existing CAR and raise a new CAR with a new closeout date agreed with the certificate holder, reporting the action in the evaluation report, or</li> <li>(b) determine that the nonconformity is now a major or critical nonconformity and raise a CAR with a closeout date as required for a major or critical nonconformity.</li> </ul>



		<p><b>Major</b></p> <p>The potential impact is likely to compromise Building Code compliance unless corrective action is taken promptly.</p>	<p>The PCB must raise a CAR with respect to the nonconformity and set a closeout date that does not exceed seven days.</p> <p>The PCB must not close out the CAR until the major nonconformity has been corrected and the PCB has verified the corrective action.</p>	<p>The PCB must determine that the nonconformity is now a critical nonconformity and take the appropriate action.</p>
		<p><b>Critical</b></p> <p>The potential impact requires immediate corrective action.</p>	<p>The PCB must raise a CAR with respect to the nonconformity requiring immediate corrective action to be taken. Further building products must not be produced or building methods implemented until the CAR is closed.</p> <p>The PCB must not close out the CAR until the critical nonconformity has been corrected and the PCB has verified the corrective action.</p> <p>Verifying a corrective action with respect to a critical nonconformity requires—</p> <ul style="list-style-type: none"> <li>(a) onsite verification (for manufacturing site audits or installation inspections); or</li> <li>(b) verification by testing (for conformity failures); or</li> <li>(c) examination of revised documentation (for deficiencies in procedures or instructions).</li> </ul>	<p>The PCB must determine whether to suspend or revoke the product certificate under section 271.</p>
3.4.2.	<p>If a PCB is reviewing a product certificate under section 270(3) of the Act, its review must include at least—</p> <ul style="list-style-type: none"> <li>(a) an assessment of the product certificate for ongoing accuracy and completeness; and</li> <li>(b) a review of the quality plan; and</li> <li>(c) an assessment of the documented evidence upon which certification was issued including, but not limited to: <ul style="list-style-type: none"> <li>i) for building products: test reports, audit reports, inspection reports, any outstanding nonconformities, manufacturer’s product specification, and the declared intended use(s) of the product; and</li> <li>ii) for building methods: design reviews, audit reports, inspection reports, any outstanding nonconformities, building method specifications and manuals, and an up-to-date listing of buildings completed using the building method.</li> </ul> </li> </ul>	<p><b>Guidance:</b> Section 270(3) of the Act concerns the process of changing from one PCB to another. It provides that: “A registered PCB may review a product certificate for which it is not the responsible PCB at the request of the proprietor of the building product or building method to which it relates”.</p>		
3.4.3.	<p>The PCB must carry out post-manufacture surveillance of a certified building product if:</p> <ul style="list-style-type: none"> <li>(a) directed to do so by the chief executive or the accreditation body; or</li> <li>(b) the PCB receives a relevant complaint.</li> </ul>			
3.4.4.	<p>The PCB may carry out post-manufacture surveillance of a certified building product other than as required by rule 3.4.3 at its discretion, but in doing so must take into account:</p> <ul style="list-style-type: none"> <li>(a) the results of the initial evaluation; and</li> <li>(b) any previous reviews of the product certificate.</li> </ul>	<p><b>Guidance:</b> Post-manufacture inspections may include inspecting one or more samples of the certified building product, eg from a distribution warehouse or a New Zealand wholesaler or retailer, and/or further product testing.</p>		
<b>Surveillance reporting</b>				
3.4.5.	<p>When reviewing a product certificate the PCB must—</p> <ul style="list-style-type: none"> <li>(a) keep detailed notes with respect to Building Code compliance; and</li> <li>(b) use these notes to form the basis for the PCB’s report on its review.</li> </ul>			
3.4.6.	<p>The PCB’s report on its review of the product certificate must include—</p> <ul style="list-style-type: none"> <li>(a) a summary of this review; and</li> <li>(b) details of any nonconformities and the actions taken with respect to them; and</li> <li>(c) any recommendations or opportunities for improvement that were identified during the review.</li> </ul>			
3.4.7.	<p>The PCB must ensure that the report described in rule 3.4.6 is reviewed by person(s) not involved in the report’s preparation or the product certificate’s review to ensure the report and review adequately address the applicable requirements of the CodeMark scheme and the Building Code.</p>			

### 3.5 Change in certificate holder

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|--------|--|
| 3.5.1. | If the responsible PCB receives a request to transfer a product certificate from one certificate holder to another: <ul style="list-style-type: none"><li data-bbox="357 296 1890 371">(a) if this request means the certified building method or building product would be manufactured at a different site the PCB must regard the request as a new application and evaluate it accordingly; and</li><li data-bbox="357 371 1890 436">(b) in all other cases the PCB may use its discretion to determine the nature and extent of its review, taking into account the impact (if any) of the change in certificate holder on the evidence forming the basis for certification.</li></ul> |
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## Part 4: Certificate holder requirements





This Part covers requirements for certificate holders, which include making sure that the certified building product continues to be manufactured, or the certified building method to be implemented, in accordance with the quality plan and any conditions associated with the product certificate.

4.1.	<p>The certificate holder must ensure—</p> <ul style="list-style-type: none"> <li>(a) the certified building product or building method continues to be manufactured or implemented in accordance with the quality plan and any conditions associated with the product certificate; and</li> <li>(b) the building product or building method available in the New Zealand market is materially the same as any sample that was evaluated; and</li> <li>(c) every certified building product or building method that is a tangible product or its packaging is marked with, or has attached to it, the mark of conformity; and</li> <li>(d) its use of the mark of conformity is in accordance with Schedule 1: Use of the mark of conformity.</li> </ul>
4.2.	<p>The certificate holder must ensure that the quality plan prepared in respect of the certified building product or building method—</p> <ul style="list-style-type: none"> <li>(a) is specific to the certified building product or building method and relevant to the scope of certification; and</li> <li>(b) is agreed to and retained by the manufacturer (where the manufacturer is not the certificate holder); and</li> <li>(c) is provided to the PCB as a controlled copy; and</li> <li>(d) demonstrates how the certificate holder’s quality management system, if any (or the manufacturer’s quality management system, where the manufacturer is not the certificate holder) applies to the certified building product or building method; and</li> <li>(e) demonstrates how the quality plan’s requirements will be met; and</li> <li>(f) minimises the risks of not meeting these requirements.</li> </ul> <p><b>Guidance:</b> In cases where the certificate holder is not the manufacturer, aspects of the quality plan will rely on good communication between the two. Rule 4.2(b) gives the PCB confidence that the manufacturer respects the certificate holder’s role in relation to their building product or building method. Rule 4.2(f) places a responsibility on the certificate holder to assess the risk of receiving unacceptable product quality from the manufacturer and to consider how to reduce that risk, ideally with the manufacturer’s cooperation.</p>
4.3.	<p>The certificate holder must ensure that the quality plan specifies at least the following:</p> <ul style="list-style-type: none"> <li>(a) the quality plan’s scope; and</li> <li>(b) quality objectives for the certified building product or building method, including the required quality characteristics and performance requirements consistent with the Building Code clauses listed on the product certificate; and</li> <li>(c) product traceability information from the certified building product to the production batch test records; and</li> <li>(d) control of documented information, including a requirement that if manufacturing ceases then product traceability records must be retained for at least 10 years from the final manufacturing date; and</li> <li>(e) control of non-conforming building products or building methods, including a product recall procedure specific to the New Zealand market; and</li> <li>(f) monitoring and measurement processes.</li> </ul> <p><b>Guidance:</b> ISO/IEC 10005:2018 (Quality management – guidelines for quality plans) contains general guidance on suitable content for a quality plan.</p>
4.4.	<p>If the certificate holder or the responsible PCB finds that a certified building product or building method which has been released on the market does not comply with the Building Code or with the Code compliance claims stated on the product certificate, the certificate holder must—</p> <ul style="list-style-type: none"> <li>(a) activate the product recall procedure relating to the certified building product or building method; and</li> <li>(b) disclose the non-compliance in disclosure statements published in a form that is acceptable to the responsible PCB and to the chief executive.</li> </ul>
4.5.	<p>The certificate holder must inform the responsible PCB as soon as reasonably practicable of any activation of the product recall procedure for the certified building product or building method.</p>
4.6.	<p>The certificate holder must inform the responsible PCB in writing within five working days of the following:</p> <ul style="list-style-type: none"> <li>(a) any intended change to any of the following particulars: <ul style="list-style-type: none"> <li>i) the legal name, trading name(s), address for service, email address, phone number or internet site of the certificate holder</li> <li>ii) any address of a location where a certified building product or building method is produced or manufactured; and</li> </ul> </li> <li>(b) any intended change, modification, or alteration to any of the following: <ul style="list-style-type: none"> <li>i) the certified building product or building method</li> <li>ii) the method of its production or manufacture</li> <li>iii) the quality plan prepared in respect of the certified building product or building method</li> <li>iv) the application or installation instructions for the certified building product or building method</li> <li>v) any documentation relating to the use and maintenance of the certified building product or building method; and</li> </ul> </li> <li>(c) any reason to suspect the certified building product or building method does not comply with the Building Code; and</li> <li>(d) any decision to relinquish certification.</li> </ul>

4.7.	If a product certificate is suspended the certificate holder must— (a) inform any customers of the change in certification status; and (b) immediately cease using the product certificate, mark of conformity and any reference to the certificate number.
4.8.	If a product certificate is revoked or the certificate holder relinquishes certification the certificate holder must— (a) comply with the requirements in rule 4.7; and (b) unless the certificate holder holds another current product certificate, immediately cease making any reference to the CodeMark scheme including in advertising or other promotional material.

## Schedule 1: Use of the mark of conformity

This Schedule contains requirements for using the CodeMark mark of conformity (which is a registered trade mark) including acceptable formats.

S1 Use	
S1.1.	A certificate holder with a current product certificate must ensure that the mark of conformity and the certificate number of the product certificate are applied to every certified building product or building method, either: <ul style="list-style-type: none"> <li>(a) directly by stamping, printing, moulding, etching or labelling; or</li> <li>(b) indirectly to the associated packaging or marketing material.</li> </ul>
S1.2.	A certificate holder may accompany the mark of conformity (eg on packaging or marketing material) with either of the following statements: <p>“This [building product/building method] is marked with the CodeMark New Zealand mark of conformity. This indicates that the conformity of our product is based upon technical documentation and review of our manufacturing and quality control process to monitor our ability to consistently produce this product in compliance with the requirements of Clauses [insert the clauses listed on the product certificate] of the New Zealand Building Code.”</p> <p><b>OR</b></p> <p>“Compliance of this [building product/building method] with the requirements of Clauses [insert the clauses listed on the product certificate] of the New Zealand Building Code is monitored by the CodeMark New Zealand Product Certification Body [insert name of PCB].”</p>
S1.3.	A certificate holder may use the mark of conformity on documents, in advertising or other promotional material, but only in relation to the certified building product or building method.
S1.4.	The accreditation body and registered PCBs may use the mark of conformity on documents or other material associated with the CodeMark scheme.
S2 Format	
S2.1.	The mark of conformity must be rendered in accordance with rules S2.2 to S2.4 unless the chief executive has given prior written approval for any departure from these rules.
S2.2.	The mark of conformity must be rendered in one of the colour options shown in Figure 3. <div style="display: flex; justify-content: space-around; align-items: flex-start; padding: 20px;"> <div style="text-align: center;">  <p><b>CODEMARK®</b></p> <p><i>(a) black, white, and Pantone 541 C or equivalent</i></p> </div> <div style="text-align: center;">  <p><b>CODEMARK®</b></p> <p><i>(b) black and grey on a light background</i></p> </div> <div style="text-align: center;">  <p><b>CODEMARK®</b></p> <p><i>(c) black on a light background</i></p> </div> <div style="text-align: center;">  <p><b>CODEMARK™</b></p> <p><i>(d) white on a dark background</i></p> </div> </div> <p><b>Figure 3: Colour options for the mark of conformity</b></p>

- S2.3. The mark of conformity must be reproduced:
- (a) no less than 20 millimetres wide; and
  - (b) with a minimum clear space on all sides as illustrated in Figure 4; and
  - (c) without adjusting the proportions or any part of the mark of conformity.



**Figure 4: Minimum clear space for the mark of conformity**

- S2.4. The acceptable format for any use of the mark of conformity in conjunction with a certificate number must be as shown in Figure 5.



**Figure 5: Certificate number used in conjunction with the mark of conformity**

- S2.5. The mark of conformity may be used with or without the ® symbol that indicates its status as a registered trade mark.

## Appendix 1: The CodeMark scheme framework

Appendix 1 provides more detail of the legislative framework for the Codemark scheme. It lists sections of the Act relating to product certification alongside the relevant regulations.

### NOTES FOR PUBLIC CONSULTATION:

Section headings in the left-hand column of this table relate to the *Building Act 2004* as amended by the *Building (Building Products and Methods, Modular Components, and Other Matters) Amendment Act 2021*. Please note that most of these amendments are not in force at the time of this consultation. They will come into force on or before 7 September 2022, along with the revised Regulations and these scheme rules.

Details of the revised Regulations will be added to the right-hand column before the scheme rules are finalised.

Building Act 2004	Building (Product Certification) Regulations
<b>Accreditation of product certification bodies</b>	
261 Chief executive may appoint product certification accreditation body	
262 Requirements for product certification accreditation body Also see: New Zealand <i>Gazette</i> , No 14, 5 February 2009 Notice of Requirements for Product Certification Accreditation Body	
262A Fees for audits	Fees: Audit of accredited PCB
263 Accreditation of product certification body	Criteria and standards for accreditation as a product certification body Fees: Accreditation of product certification body
264 Suspension or revocation of accreditation	
267 Product certification accreditation body must notify chief executive of grant, suspension, lifting of suspension, or revocation of accreditation	
Also see: 272G Offence to misrepresent status as product certification body	
<b>Registration of product certification bodies</b>	
267A Registration of product certification body	Registration of product certification body Fees: Registration of product certification body
267B Audit of registered PCB	
267C Suspension of registration of PCB	
267D Lifting of suspension of registration of PCB	
267E Revocation of registration of PCB	
Also see: 200-203C Disciplinary powers in relation to complaints 204 Special powers of chief executive for monitoring performance of functions under this Act 208 Appeals to District Court 272G Offence to misrepresent status as product certification body 273 Chief executive must keep registers 274 Purpose of registers	
<b>Certification of building products and building methods</b>	
269 Product certificates	Criteria and standards for certification of building methods or building products
270 Annual review of product certificate	Annual review of product certificates
271 Suspension or revocation of product certificate	
272 Notification to chief executive by registered PCB	
<b>Registration of product certificates</b>	

Building Act 2004	Building (Product Certification) Regulations
272A Registration of product certificates	Content of product certificates Fees: Registration of product certificate
272B Suspension of registration of product certificate	
272C Lifting of suspension of registration of product certificate	
272D Revocation of registration of product certificate	
<p><b>Also see:</b>  200-203C Disciplinary powers in relation to complaints  208 Appeals to District Court 272H Offence to misrepresent product certificate  273 Chief executive must keep registers  274 Purpose of registers</p>	
<b><i>Transitional, savings and related provisions</i></b>	
<p><b>Schedule 1AA Part 3</b>  7 Meanings of building product and building method  8 Current PCBs have 6 months to become registered  9 Current product certificates become registered  9a Product certificates for building designs or building design methods</p>	Transitional, savings and related provisions

[ends]