

**SCHEDULE D OF IMPLEMENTING ARRANGEMENT 1  
MANDATORY REQUIREMENTS FOR THE REGISTRATION  
OF INSPECTORS**

**For China**

1. The criteria established by the Personnel Certification Body for the Certification of CCC Inspectors will apply for the registration of Chinese Inspectors. For the purposes of this Agreement, any references to a Chinese Standard will be replaced by the relevant standard and deviations specified in Schedule A.1 of this Implementing Arrangement.

**For New Zealand**

2. For New Zealand inspectors to be registered the following criteria will apply:

**Criteria for Registration**

3. To be registered as an Inspector, an applicant will:
  - a) Be an individual in New Zealand or Australia who is a full-time or part-time employee, or under the direct control, of an accepted Certification Body;
  - b) Possess the following personal attributes needed to perform inspections effectively:
    - i) Be fair, truthful, sincere, honest and discreet;
    - ii) Be willing to consider alternative ideas or points of view;
    - iii) Be tactful in dealing with people;
    - iv) Be actively aware of physical surroundings and activities;
    - v) Be perceptive, that is instinctively aware of and able to understand diverse situations;
    - vi) Be able to adjust readily to different situations;
    - vii) Be persistent and focused on achieving objectives;
    - viii) Be able to reach timely conclusions based on logical reasoning and analysis; and
    - ix) Be capable of acting and carrying out functions independently while interacting effectively with others;
  - c) Possess the following professional knowledge and competencies:
    - i) A fundamental theoretical knowledge and practice experience in corresponding professional technology fields;
    - ii) A command of the laws, statutes, standards and regulations relating to this Agreement;
    - iii) Familiarity with relevant national industrial policies and trade policies
    - iv) Familiarity with the relevant product standards, technical specifications, testing standards and inspection methods;
    - v) Familiarity with corresponding product design, production, installation and service process;
    - vi) Familiarity with fundamental theories on quality management and requirements for enterprise quality assurance, and the ability to understand critical links related to the quality control of production;

- vii) An understanding of inspection standards and methods, and the ability to inspect enterprise assurance capability in conjunction with product characteristics;
  - viii) A good understanding of the CCC System;
  - d) Have obtained tertiary education qualifications that take at least three years to complete at a tertiary institution that is recognized in New Zealand;
  - e) Have full-time work experience of at least 6 years if he or she does not have a university degree, or at least 4 years full-time work experience if he or she has a university degree. The work experience must have been obtained after obtaining the tertiary educational qualification from a technical, professional or management position involving the exercise of judgment, problem solving and communication;
  - f) Have had a minimum of two years of professional experience in relevant product certification which may have taken place concurrently with his or her work experience;
  - g) Have had training of at least 40 hours to qualify as a Inspector on:
    - i) the CCC system;
    - ii) the CCC Implementation Rules;
    - iii) relevant Mandatory Requirements;
    - iv) the Code of Conduct for Registered Inspector, referred to in paragraph 15;
    - v) the criteria for registration, re-registration, and maintain registration.
4. The training referred to in paragraph 3(g) will be given by an individual or individuals with a comprehensive knowledge of the requirements listed in paragraph 3(g).

### **Applications for Registration as an Inspector**

5. Applications for registration as an Inspector will be submitted to the accepted Certification Body, or the Certification Body that has applied for acceptance, that employs, or will employ, the applicant under a contract of services or, a contract for services where that Certification Body has direct control of the applicant, to carry out inspections under this Agreement and will be in the appropriate form attached to this Schedule and accompanied by:
- a) Evidence of tertiary educational credentials;
  - b) Evidence of inspector training;
  - c) A photograph of the applicant;
  - d) Documentation to support work experience, professional experience and any other experience or qualifications declared in the application;
  - e) A declaration by the applicant confirming the authenticity of his or her application and its compliance with the relevant Mandatory Requirements and promising to observe and follow the registration requirements and the Code of Conduct referred to in paragraph 15.
6. An applicant will be responsible for the authenticity of the contents of his or her application.

## **Evaluation for the application**

7. For each application for registration as an Inspector that a Certification Body that is accepted, or has applied to be accepted, recommends, that Certification Body will:
  - a) Evaluate the applicant's personal attributes as described in paragraph 3(b);
  - b) Evaluate the applicant's ability to:
    - i) apply knowledge of production;
    - ii) conduct inspections in accordance with the relevant CCC Implementation Rules;
    - iii) meet the relevant Mandatory Requirements;
    - iv) plan inspections and make effective use of resources;
    - v) manage effectively inspections and lead an inspection team;
    - vi) communicate and coordinate with the organization to be inspected;
    - vii) control all inspection events and to react in emergencies;
    - viii) prepare inspection reports;
  - c) Check and confirm, in writing, the authenticity of the contents of the application for registration or re-registration as an Inspector completed by the applicant and that the application complies with the Mandatory Requirements for Registration;
  - d) Confirm an applicant's work experience, professional experience, his or her current work status, position and responsibility.
8. The relevant accepted Certification Body will evaluate an applicant's compliance with the registration requirements referred to in this Schedule either by desk-top evaluation, written examination, interview, onsite witnessing or a combination of those methods.
9. Evaluations will be carried out by personnel who have no prejudice or conflict of interests and are able to perform the evaluation in a fair and objective manner, have adequate qualifications and received the necessary training to enable them to make reasonable judgements of the compliance of the applicant's qualification and experience with the relevant Mandatory Requirements.

## **Recommendation for registration as an Inspector**

10. An accepted Certification Body or a Certification Body that has applied for acceptance will provide to the Personnel Certification Body with its recommendation of an applicant:
  - a) A copy of the completed application in the form attached to this Schedule;
  - b) Confirmation that the applicant has passed any evaluation referred to in paragraph 7, 8 and 9 of this Schedule;
  - c) Confirmation of the applicant's personal attributes;
  - d) Confirmation by the Certification Body of the applicant's relevant experience;
  - e) Recommendation for the registered professional scope based on the applicant's professional ability;

- f) Recommendation for registration of the applicant;
- g) Maintain records of its assessments of the applicant, for a period of not less than five years after the applicant has ceased to be registered as an Inspector.
- h) The Registration fee referred to in paragraph 21.

11. The relevant accepted Certification Body or the Certification Body that has applied for acceptance shall provide the Personnel Certification Body with written evidence of the evaluation.

### **Requirements for maintaining registration**

12. A Registered Inspector will, during any registration period, complete in accordance with the Mandatory Requirements and confirmed by the relevant accepted Certification Body or Certification Bodies at least 2 inspections a year that cover the entire inspection course from the inspection preparation to the inspection report. A maximum of 18 months between inspections will be permitted.

13. A Registered Inspector will maintain an inspection log that records:

- a) Inspection dates;
- b) The relevant CCC Implementation Rules;
- c) Inspection type (e.g. complete initial factory inspection or follow up factory inspection as required by the CCC System);
- d) The name and contact information of the inspected organization (name, address, postal code, contact person, telephone and fax);
- e) The name and contact information of the Certification Body or Bodies (name, address, postal code, contact person, telephone and fax);
- f) The name and contact information of the inspection team leader;
- g) The role of that Registered Inspector in the inspection team as a member or lead; and details of the inspection undertaken by that Registered Inspector.

### **Continuing professional development**

14. A Registered Inspector will:

- a) complete at least 8 hours of continuing professional development each year, that should be focused on this Agreement and on practice or methods for improving inspection skills and selected with regard to the Registered Inspector's personal strengths and weaknesses and in the areas that will assist in his or her personal improvement; and
- b) where the provider is not the accepted Certification Body, submit evidence of the professional development undertaken confirmed by the provider to the relevant accepted Certification Body or Bodies, describing the type of events, duration, and detailed information on the provider.

15. Inspectors will observe the following Code of Conduct. Failure to do so may result in suspension or withdrawal of registration;

- a) Observe relevant legislation, and act professionally and ethically;

- b) Strive to increase the competence and prestige of the inspection profession;
- c) Assist those in their employ or under their supervision in developing management, professional and inspection skills;
- d) Take due professional care and not undertake inspections they are not competent to perform;
- e) Not represent conflicting or competing interests and disclose to any client or employer any relationships that may influence their judgement;
- f) Not discuss or disclose any information relating to an inspection unless required by law or authorized in writing by the inspected organization and the organization conducting the inspection;
- g) Not accept any inducement, commission, gift or any other benefit from inspected organizations, their employees or any interested party or knowingly allow colleagues to do so;
- h) Make fair presentations of inspection findings based on verifiable inspection evidence and not intentionally communicate false or misleading information that may compromise the integrity of any inspection or the inspector registration process;
- i) Not act in any way that would prejudice the reputation of the Personnel Certification Body or the inspector registration process and co-operate fully with an inquiry in the event of any alleged breach of this Code; and
- j) Not carry out both consulting and inspections of the same organization.

### **Requirements for Re-registration**

16. Inspectors will be required to re-register with the Personnel Certification Body every 3 years.
17. Applications for re-registration as a Registered Inspector will be made to an accepted Certification Body, or the Certification Body that has applied for acceptance, that employs, or will employ, the applicant under a contract of services or, a contract for services where that Certification Body has direct control of the applicant, to carry out inspections under this Agreement and will be in the appropriate form set out below and accompanied by:
  - a) A photograph of the applicant;
  - b) The applicant's certificate of registration in duplicate;
  - c) Original inspection logs in duplicate;
  - d) A declaration by the applicant confirming the authenticity of his or her application and its compliance with the relevant Mandatory Requirements and promising to observe and follow the registration requirements and the Code of Conduct referred to in paragraph 15.
  - e) Records of continuing professional development.
18. The inspection log must be affixed with a seal or signed by the accepted Certification Body and the organization that is being inspected as well as, where applicable, at least one other member of the inspection team.

19. For each application for re-registration as an Inspector that a Certification Body that is accepted, or has applied to be accepted, recommends, that Certification Body will provide the Personnel Certification Body with:
  - a) A copy of the completed application form;
  - b) Confirmation by the accepted Certification Body of the applicant's inspection experience; and
  - c) Confirmation by the accepted Certification Body of the applicant's continuing professional development.
  - d) Confirmation by the accepted Certification Body of the applicant's continuing to meet all registration requirements;
  - e) Recommendation on the registered professional scope of the applicant based on his or her professional ability;
  - f) Recommendation for re-registration of the applicant;
  - g) The registration fee referred to in paragraph 21.
20. The relevant accepted Certification Body will maintain records of its assessments of the applicant, for a period of not less than five years after the applicant has ceased to be registered as an Inspector.

#### **Fees**

21. The fee payable to the Personnel Certification Body, by a Certification Body that is accepted or has applied for acceptance, for the registration or re-registration of an Inspector will be RMB 100.00 yuan, excluding postage. The fee will include:
  - a) the cost of making the registration certificate;
  - b) the cost of translation;
  - c) the cost of communicating information on the registration; and
  - d) the cost of managing the registration, including the fee for transferring information relating to the registration to the Chinese Responsible Authority, suspension or withdrawal of the registration, and providing information for market surveillance.
22. The fee referred to in paragraph 21 may be adjusted as jointly decided, in writing, by the Responsible Authorities.