



AUSTRALIA AND NEW ZEALAND CERTIFICATION SYSTEM EXPLOSIVE ATMOSPHERES (ANZEx)

ANZEx Certified Equipment Scheme Rules

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1 General

1.1 Introduction

This document provides the scheme requirements for the ANZEx Certified Equipment Scheme which forms part of the overall ANZEx System. The requirements in this document complement the requirements in the ANZEx System Rules. Certification bodies and testing laboratories that wish to be recognised under this ANZEx Certified Equipment Scheme must comply with the requirements in the ANZEx System Rules and the requirements in this document.

Details of the ANZEx Certification System are described in the ANZEx System Rules.

The structure, Scheme participants and corresponding roles and responsibilities and processes described in the ANZEx System Rules provide the infrastructure and support for the operation of this Scheme.

1.2 Reference documents

Currently accepted standards for the various schemes are listed on the ANZEx website.

These Rules also refer to the following documents:

AS/NZS ISO 9000	Quality management systems – Fundamentals and vocabulary
AS/NZS ISO/IEC 17065	Conformity assessment – Requirements for bodies certifying products, processes and services
AS/NZS ISO/IEC 17067	Conformity assessment – Fundamentals of product certification and guidelines for product certification schemes
AS/NZS 60079-0	Explosive atmospheres – Equipment – General requirements
AS/NZS 80079-34	Explosive atmospheres – Application of quality systems for equipment manufacture
IECEX OD 203	Guidance on the definition of ‘manufacturer’ in relation to trade agents
IECEX OD 017	Operational Document – Drawing and documentation Guidance for IEC Ex Certification – for use by Manufacturers and ExTLs

1.3 Definitions

Unless otherwise specified in this document, the definitions provided in the ANZEx Certification System – System Rules apply.

1.4 Abbreviations

AC	Advisory Committee
CB	Certification Body
ANZEx CB	An ANZEx Certification Body under this Scheme
ANZEx SP	An ANZEx Scheme Participant
ANZEx TL	An ANZEx Testing Laboratory
CoC	Certificate of Conformity
Ex	Explosion protected
ExCB	An ANZEx CB (see above) or IECEx CB
ExTR	Ex Test Report
IEC	International Electrotechnical Commission
IECEx	International Electrotechnical Commission System for Certification to Standards Relating to Equipment for Use in Explosive Atmospheres
ILAC	International Laboratory Accreditation Cooperation
JAS-ANZ	Joint Accreditation System of Australia and New Zealand
NATA	National Association of Testing Authorities
QAR	Quality Assessment Report
SP	Scheme Participant
TL	Testing Laboratory

2 Structure of the ANZEx Certified Equipment Scheme

2.1 Overview

The ANZEx Certified Equipment Scheme permits certification of equipment intended for use in explosive atmospheres through conformity with the explosive atmosphere equipment suite of standards. The ANZEx System Owner decides which standards are covered by the ANZEx Certified Equipment Scheme. Standards that may be used in the Scheme are listed on the ANZEx website.

The ANZEx System Owner accepts Scheme participants – ANZEx Certification Bodies (CB) and ANZEx Testing Laboratories (TL) – that are responsible for the provision of services leading to certification of product. An applicant applies to a CB for certification of an item of Ex equipment. The processes described in these Scheme Rules are used and when certification has been granted, manufacturers must apply the identifier to compliant product under the oversight of the applicant.

Procedures for the management of an ANZEx Certificate of Conformity (CoC) including application, issue, amendment, changes, and withdrawal of a certificate are described in Section 3.

Maintenance of certification shall be through satisfactory performance in periodic surveillance activities (see Section 3.4).

2.2 ANZEx Certified Equipment Scheme Participants

2.2.1 System/Scheme Owner

The ANZEx Certification System is owned and operated by the System Owner (JAS-ANZ). The System Owner has established the ANZEx Certified Equipment Scheme and is the Scheme Owner. The System Owner has rights and powers as identified in the ANZEx Certification System Rules.

2.2.2 ANZEx certification bodies and ANZEx test laboratories

The operation of this Scheme relies on the ANZEx CBs and the ANZEx TLs. Procedures for their acceptance, their rights and powers are identified in the ANZEx System Rules relating to System Participants. Criteria for acceptance are those for System Participants in the System Rules and the specific criteria below.

2.2.2.1 ANZEx certification bodies

In addition to the criteria for selection detailed in the ANZEx System Rules relating to System Participants, the organisation shall hold JAS-ANZ accreditation with an associated relevant scope of accreditation or hold other relevant recognition acceptable to the System Owner.

2.2.2.2 ANZEx testing laboratories

In addition to the criteria for selection detailed in the ANZEx System Rules relating to System Participants, the organisation shall hold accreditation with a laboratory accreditation body that is a signatory to the International Laboratory Accreditation Cooperation (ILAC) Mutual Recognition Arrangement, with an associated relevant scope of accreditation.

2.3 Applicants and related entities

2.3.1 Applicants

Applicants are defined in the ANZEx System Rules, Issue 1, 19 October 2020 in clause 1.5.14.

A variety of entities may apply for, and be issued, an ANZEx CoC. In the Certified Equipment Scheme, the following may be applicants:

- a designer of equipment
- a manufacturer of equipment
- a person holding intellectual property rights to a design
- a person commissioned to manage (on behalf of a manufacturer, designer or person holding intellectual property rights) a project involving certification
- a person authorised to provide local-market representation on behalf of an intellectual property holder.

In the case of modifications to legacy equipment, the equipment owner/operator seeking certification over modifications to items of equipment, may self-nominate as an agent for the affected items of equipment, for the purpose of unit verification (see Section 3.9).

The applicant is the entity that applies for an ANZEx CoC and with whom the ANZEx CB deals in matters relating to the maintenance of that ANZEx CoC.

The ANZEx Certified Equipment Scheme requires the applicant to describe the processes for production quality, which are assessed by the ANZEx CB. This description includes identification of one or more manufacturers (see Section 1.6 of the ANZEx System Rules, Issue 1, 19 October 2020 and described below) and may also include reliance upon local assemblers (see Section 1.6 of the ANZEx System Rules, Issue 1, 19 October 2020 and described below).

NOTE: In practice, production may involve one or more production facilities/manufacturers (see Section 2.3.2) and possibly also local assemblers (see Section 2.3.3) to provide a marketable product, either an item of Ex equipment or an Ex component.

An applicant may, through licensing agreements, retain a number of manufacturers for the supply of product.

2.3.2 Manufacturers

Manufacturers must fulfil their ongoing obligations under the certification requirements. If the manufacturer is not the applicant, the applicant is required to have suitable contractual arrangements with the manufacturer. Contractual arrangements shall address responsibilities for ongoing quality and arrangements regarding ongoing surveillance by the ANZEx CB in accordance with the Scheme Rules.

NOTE: The relationships between ANZEx CB or ANZEx TL, applicant, and manufacturer may vary in matters relating to reporting, payment, and other commercial matters. The applicant may have contractual arrangements with one or more manufacturers.

2.3.3 Local assemblers

In some cases, final assembly may be performed at a location away from the manufacturer, but the manufacturer is fully responsible for final product compliance. This could be at a remote location of the manufacturer or an approved agent.

A local assembler may be part of a manufacturer's organisation (e.g. a sales or distribution centre), or an agent.

If a local assembler is not a part of a manufacturer's organisation, contractual arrangements usually limit the extent of the authorisation.

A local assembler may be tasked to configure parts or equipment to meet an ANZEx CoC or to realise a client's requested configuration that is drawn from options detailed in an ANZEx CoC.

2.4 Scheme instruments – Certificate of Conformity

An ANZEx CoC is issued by an ANZEx CB to signify that an Ex product conforms to standards identified by the Scheme owner.

Applicants that have been issued a valid and current CoC are required to have the manufacturer place the unique identifier that is listed on the CoC on the manufactured product.

A CoC is only valid when it has been listed and maintained on the ANZEx website by the administering body.

2.4.1 Contents of a Certificate of Conformity

A CoC shall include:

- a certificate number (see Section 2.4.2)
- unique identification of equipment, including description, trade name(s), catalogue numbers, model(s) identification, so that equipment can be matched to the certificate
- the applicant's name and address
- the name(s) and manufacturing location(s) of the manufacturer(s)
- the standards – including editions, issues and amendments – to which conformity has been verified
- marking as required by the applicable equipment standard
- the Accreditation Body Mark (JAS-ANZ symbol) and the CB logo
- the name and contact details (address, phone number, website etc) of the ANZEx CB
- identification of supporting documented information including test reports and quality assessment reports, and the associated issuing body/ies

- the date of issue
- drawing numbers, with relevant revision references and dates
- any certification conditions
- details of revision changes including history details of all prior revisions
- any other relevant product marking.

Clause 3.9, of this document requires that individual products certified using a unit verification procedure shall be identified by serial number on the product and the ANZEx CoC.

2.4.2 Establishing certificate numbers

The certificate number provides the means for identifying the Scheme and the issuing ANZEx CB. A certificate number shall be in the form 'ANZEx YY.DNNNA-ZZ'.

- 'YY' denote the last two digits of the year of issue of the original certificate
- 'D' denotes the issuing body (2 = Simtars, 3 = TestSafe, 4 = ExTC, 6 = MSTC).

Note 1: Numbers 1 and 5 and 7 have been used in the Service Facility Scheme, and to prevent confusion are not to be used in the Product Scheme.

Note 2: Additional numbers will be added if additional participants are accepted in the ANZEx system.

- 'NNN' is a unique number determined by the issuing CB.
- 'A' is one of the following special characters:
 - R when the certificate is issued following use of the unit verification procedure
 - U when the certificate relates to an Ex Component
 - X when there are conditions of use relating to the Ex equipment'A' is omitted if none of the above apply.
- 'ZZ' denotes the certificate issue number.

Characters other than those listed above shall not be used in certificate numbers.

2.4.3 Identifier

The identifier is a valid certificate number applied to equipment and related documentation to indicate the equipment has been manufactured in accordance with the rules of the ANZEx Certified Equipment Scheme. The identifier also allows the status of the CoC to be confirmed by reference to the ANZEx website.

The identifier shall be included on:

- ANZEx certificates issued by an ANZEx CB
- ANZEx Certified Equipment, except as provided in AS/NZS 60079-0 (2019) clauses 29.11 and 29.12
- labels and supporting documents for conforming equipment.

Equipment that does not carry the identifier is not deemed to be certified under this scheme, except for those circumstances outlined in AS/NZS 60079-0 (2019) clauses 29.11 and 29.12.

Annex A provides guidance on how to identify equipment under the Scheme.

2.4.4 Misuse of identifier

The types of activities that constitute misuse of the identifier include (but are not limited to):

- applying the identifier to products which do not meet with the ANZEx certification requirements including (for manufacturers) compliance with the product quality documentation
- applying the identifier to products manufactured at locations other than site(s) identified in the CoC
- applying the identifier to product not identified in an ANZEx Certificate
- misuse of the identifier in supporting materials, such as catalogues, advertising, etc.

- implying that products are certified when they are not
- misrepresenting the extent of certification
- incomplete certification marking
- misleading form(s) of the identifier
- misleading method of marking
- incorrect location of marking on a product
- application of the identifier to equipment while subject to suspension
- use of the identifier after an ANZEx CoC has been cancelled or withdrawn.

When misuse is identified the relevant ANZEx CB shall take appropriate disciplinary action.

2.5 Scheme instruments – Test Report

Test reports accepted under this Scheme are an:

- ANZEx Test Report issued by an ANZEx TL
- IECEx Test Report issued by an IECEx TL.

NOTE: Information from a test report issued by a testing laboratory that is accredited by an ILAC MRA signatory and covering work performed within the scope of that accreditation, showing conformity with a relevant, valid standard may be used by an ANZEx TL.

All test reports must be reviewed and validated by the ANZEx CB issuing the CoC to ensure the test report indicates compliance with:

- all the relevant clauses of the relevant ANZEx identified explosion protection standards
- these ANZEx Certified Equipment Scheme Rules.

Records of the review shall be maintained.

Test reports shall be in the format as specified in the IECEx Equipment Scheme, or as specified by the Scheme Owner.

2.6 Scheme instruments – Quality Assessment Report

Quality Assessment Reports (QARs) accepted under this Scheme are an:

- ANZEx QAR issued by an ANZEx CB
- IECEx QAR issued by an IECEx CB.

If the ANZEx CB issuing the certificate has not issued the QAR, the ANZEx CB must review the full ANZEx or IECEx QAR to ensure the QAR indicates compliance with these ANZEx Certified Equipment Scheme Rules and the ANZEx System Rules. When the IECEx QAR is used, the ANZEx certificate number must be included in the IECEx QAR.

If local assemblers are used, they shall be included in the manufacturer's QAR.

Local assemblers may have their own QAR if they wish to manufacture Ex equipment/assembly.

NOTE: IECEx OD 203 *Guidance on the definition of 'manufacturer' in relation to trade agents' and 'local assemblers'* also provides guidance on the involvement of local assemblers in production and certification processes.

2.7 Managing changes to standards and legacy equipment

2.7.1 General rules for handling of changes to standards

Unless varied by a Direction (System Rules clause 3.4.4), applications for certification can be lodged for the current edition of the standard or the previous edition, provided that the published date of the superseded edition of a standard is less than 10 years old.

Amendments to certificates may be issued while the certificate remains valid (see Section 3.6).

2.7.2 General rules for handling legacy AUSEx certified equipment

Equipment certified under the legacy AUSEx Scheme cannot be manufactured under the ANZEx System Rules and Certified Equipment Scheme. Such equipment must be re-certified using editions of standards accepted under the rules of the ANZEx Scheme.

Under the AUSEx Scheme and other older appraisal schemes, certificates and equipment were issued according to the standards of the time. Some inconsistencies in information and labelling have since been identified. In these cases, scheme participants are required to provide additional clarifications and explanations in the certification document dossier.

2.7.3 General rules for changes to unsupported equipment

An equipment owner may undertake unit verification as detailed in Section 3.9.

2.7.4 General rules for handling transition to other referenced documents

Scheme participants must observe that systems and fundamental standards are released using an introduction date/transition period and sunset date for the superseded edition.

2.7.5 Transition of ANZEx Scheme ownership to JAS-ANZ

Since Scheme ownership changed in 2016, there are a significant number of formatting changes to reports, certificates, and other Scheme documentation. These changes are cosmetic and do not invalidate information on past ANZEx reports and certificates. Affected documents should be provided in the new format when they need to be revised or reissued.

2.8 System actions – disciplinary actions

The ANZEx System Rules require an ANZEx CB to direct applicants or manufacturers to take actions to comply with the requirements of the System, a Scheme of the System, or the ANZEx CB's rules and procedures.

2.9 Other matters

2.9.1 Fees

The issue and validity of an ANZEx Certificate may be subject to the payment of all outstanding costs and fees at the discretion of the ANZEx CB issuing the CoC.

The ANZEx CB and ANZEx TL are allowed to set their own fees and commercial terms for service.

The ANZEx System Owner or contracted administrative providers may set fees for administration of the schemes that are payable by scheme participants or other interested parties.

3 Management of a Certificate of Conformity

3.1 General

Certification under the ANZEx Certified Equipment Scheme relies on the combined evidence of two components:

- a product design verification conformity component involving:
 - provision of complete product documentation to adequately define the construction of the Ex equipment and the variations to be covered by the CoC
 - review of the documentation and technical assessment and/or testing of a representative type of the Ex equipment
- a production quality verification component comprising:
 - acceptable product quality documentation (defined in ANZEx System Rules, Issue 1, 19 October 2020 clause 1.5.20) that provides confidence in the consistent realisation of the submitted product
 - the existence of one or more manufacturers (to be listed on the certificate of conformity)
 - initial and ongoing audit assessment of all the manufacturer(s), manufacturing locations and local assemblers that provides confidence in the continuing compliance of the manufactured product.

The performance expectation outlined in Section 3.2 for both product design verification and production quality verification components must be met before a CoC can be issued and the identifier applied to relevant materials.

3.2 Performance expectations

The **product design verification conformity component** shall demonstrate that the type of the Ex equipment complies with the nominated standards through an Ex Test Report as defined in Section 2.5.

Testing in support of new certificates shall be to the current or previous edition of the applicable standard.

The **production quality verification component** shall demonstrate that a manufacturer operates in accordance with ISO/IEC 80079-34 or AS/NZS 80079-34 and will include any specific product documentation and any specific production requirements. This shall be assessed by the ANZEx CB through one or a combination of:

- on-site assessment
- review of a QAR reflecting on-site assessment performed by another ANZEx CB or IECEx CB
- review of product quality documentation in conjunction with a review of on-site assessment reports covering other similar products.

NOTE: Virtual assessment techniques may be used within the limitations set out in IAF MD 4.

If an IECEx QAR is used for the production quality verification component, the IECEx QAR reporting system must be used.

3.3 Obtaining certification

3.3.1 Application

Applications for a CoC may be submitted to any ANZEx CB.

If the applicant relies on third parties for manufacture or assembly, these manufacturers and local assemblers shall be identified in the CoC.

3.3.2 Supporting documentation

Documentation shall be provided that supports the explosion protection design and construction and manufacture.

IECEX OD 017 *Operational Document – Drawing and documentation Guidance for IEC Ex Certification – for use by Manufacturers and ExTLs* provides guidance for product documentation.

The ANZEx CB may require the applicant to supply additional documentation that is not detailed in IECEX OD 017.

If an ANZEx certificate is being requested on the basis of an existing IECEX Certificate, the ANZEx CB shall make a judgement as to what/whether additional information is required.

If the applicant/manufacturer relies on third parties for supply of compliant product that is not verified, such parties shall be identified.

All documentation and drawings shall be provided in English.

3.3.3 Product design verification

Assessment and testing shall be done in accordance with the relevant explosion protection standards to satisfy the performance expectations of Section 3.2.

3.3.4 Assessment

To address the production quality verification component, the ANZEx CB shall be satisfied that there has been an on-site assessment of the manufacturer's management systems relevant to the Ex equipment requested, for compliance with ISO/IEC 80079-34 or AS/NZS 80079-34.

The ANZEx CB shall take relevant information provided by the applicant into account when deciding the extent of assessment needed.

The on-site assessment shall consider the manufacturer's premises, and other manufacturing location(s)/production site(s) as needed, to confirm implementation of the quality management system (QMS) and associated product quality documentation.

Any assessment team shall include personnel with competence in the relevant equipment, applicable Ex protection technique(s) and ISO/IEC 80079-34 or AS/NZS 80079-34.

3.3.5 Post assessment

After assessment, an ANZEx QAR (see Section 2.6) shall be issued.

Any non-conformity/ies identified in the assessment shall be included in the QAR. For initial assessments and re-assessments, all non-conformities that affect the conformity of the certified equipment shall be closed (including effective implementation of the corrective action) before the QAR is issued. All other non-conformities shall be resolved to the satisfaction of the ExCB before the QAR is issued.

3.3.6 Resolution of findings and issuance of certificates

Certificates can only be issued by the ANZEx CB after the two components of the certification process (product design verification and production quality verification) are reviewed and accepted. All matters shall be addressed as required by the CB before a certificate can be issued.

3.4 Certification maintenance

3.4.1 Performance expectation

Maintaining certification depends on the relevant ANZEx CB being satisfied that the applicant and nominated manufacturer(s) continue to:

- comply with the rules of the ANZEx System
- comply with the rules of the ANZEx Certified Equipment Scheme
- demonstrate satisfactory performance at on-going site assessments
- maintain the product quality documentation for products listed in the CoC for the duration of certification
- implement the product quality documentation to ensure the continued compliance of manufactured products listed in the CoC
- monitor changes to the standards listed in the CoC such as amendments, corrigenda, interpretations and new editions. Any changes that affect a product covered by a CoC shall be identified and a competent person shall ensure appropriate actions are taken. For example, appropriate action may be to seek an amendment to the certification to incorporate a new edition of a standard.

3.4.2 Non-conformity notification

An applicant shall notify the relevant ANZEx CB immediately of any substantial issue which implies non-conformity of the certified product to the standard(s) or which reflects a deficiency of its product quality documentation and manufacturing/service capability. The issuing CB should be consulted if the applicant is unsure of the severity of the non-conformity.

Where a breach of the performance expectation (see Section 3.4.1) has been substantiated, the applicant/manufacture shall take the following actions.

- Non-conforming products in stock or in production shall be quarantined. The product identifier will be removed from the quarantined product, or the product will be recalled, reworked, replaced or destroyed.
- Records of corrective actions shall be maintained.
- If products have already been despatched, the product identifier shall be removed, or they shall be recalled and reworked or replaced to ensure they comply with the performance expectation.
- Clients shall be notified and, if required, there will be a public disclosure.

3.4.3 Periodic surveillance and re-assessment intervals

Certification shall be maintained through ongoing on-site surveillance and re-assessments covering the requirements outlined in Section 3.4.1.

Re-assessments shall be conducted on the third anniversary of the initial assessment or the previous re-assessment.

The frequency and scope of on-site surveillance visits shall be determined by the ANZEx CB based on:

- whether the manufacturer holds QMS certification to ISO 9001 or equivalent, with an appropriate scope
- the outcomes of previous assessment visits.

If a manufacturer maintains QMS certification to ISO 9001 with an appropriate scope issued by a certification body accredited by an IAF MLA Member, it shall undergo ongoing surveillance up to a maximum of 18 months from the initial assessment. It will be re-assessed three years from the date of the initial assessment, or as otherwise scheduled by the ANZEx CB.

If ISO 9001 QMS audits are not being conducted annually at a QMS-certified Ex manufacturing site (e.g. if a site is part of a multi-site QMS registration and the site is not scheduled to be audited annually), then Ex surveillance audit frequency of the manufacturer should be no more than every 12 months.

A manufacturer that does not maintain QMS certification to ISO 9001 with an appropriate scope shall undergo ongoing surveillance in the first and second years. It shall be re-assessed in the third year on the anniversary of the initial assessment or as otherwise scheduled by the ANZEx CB.

Surveillance and re-assessments shall ensure that non-conformities raised at the previous assessment are closed.

Flexibility is allowed to conduct surveillance assessments up to two months before, or up to one month after, the surveillance audit due date. Re-assessments shall be conducted long enough before the re-assessment audit due date so that any non-conformities can be closed before the re-assessment due date.

An ANZEx CB has the right to conduct additional surveillance assessments if they deem it necessary due to product and/or system deficiencies on the manufacturer's part. Such additional assessments may include assessments of sub-contracted manufacturing or service.

An organisation holding certification to ISO 9001 as detailed above, will still have its quality systems activities assessed in order to satisfy the requirements detailed in AS/NZS 80079-34. An ANZEx CB has the right to review systems assessment reports and raise findings if they deem it necessary.

An ANZEx CB shall initiate disciplinary actions (see System Rules 3.3.3) for all non-conformities identified. If a response is unacceptable or is not provided quickly enough to address the impact of the problem encountered, the ANZEx CB shall escalate the disciplinary action.

3.4.4 Post-surveillance

After the assessment, a QAR (see Section 2.6) shall be issued.

The QAR shall detail the coverage and findings of the surveillance activities. An ANZEx CB may conduct any additional assessment or surveillance activities at its discretion; this may include assessments of subcontracted operations.

Any non-conformities identified during surveillance activities shall be handled as disciplinary actions as detailed in Section 2.6.

NOTE: If non-conformities are recorded during assessment, effective corrective measures to address the issue are usually taken within a timeframe stipulated by the CB.

For surveillance activities, all non-conformities that affect the conformity of the certified equipment shall be addressed before the issue of the QAR. The Ex CB undertaking the surveillance shall immediately notify the Ex CB that issued the CoC when a non-conformity, that affects the conformity of the certified product, is reported.

3.5 Industry-specific provisions

3.5.1 Protocols where multiple production locations are engaged

More than one production location may be listed on an ANZEx certificate of conformity. The quality assessment (or production quality) requirements detailed above apply to every production location for the initial assessment and every subsequent surveillance assessment and re-assessment.

3.5.2 Provisions for certification for local assemblers

IECEX OD 203 specifies the requirements for local assemblers.

A local assembler is subject to quality assessment as part of the initial assessment and every subsequent surveillance assessment and re-assessment.

3.6 Amendments to a Certificate of Conformity

Amendments to a CoC are permitted and must cover the following:

- a modification to certified equipment
- an extension to certified equipment in the form of a new model or a new option

- a change in one or more of the components which form part of the certified equipment
- a change of catalogue or part number
- a change of brand or trade name
- a change in name or address of the applicant
- a change in name or location of the manufacturer
- a change to later editions of the standards which affects the conformity of the product.

An application for an amendment to a CoC can only be made by the current applicant to whom the CoC has been issued. An application for an amendment to a CoC shall be submitted to the ANZEx CB that issued the current certificate. The relevant ANZEx CB shall arrange for the necessary work to be carried out to verify continued conformity to the standard(s). This may require an appropriate test laboratory to issue a test report for the assessment and testing of the technical variation of the product. The ANZEx CB may:

- refuse the requested amendment
- re-issue the certificate authorising the change
- issue a new CoC, following consultation with the applicant, if the changes requested cannot be accommodated by amendment.

A re-issue of a certificate shall:

- include a history of all changes to the amended CoC
- identify the specific changes associated with the amendment.

NOTE: Amendments to legacy certificates present challenges, particularly where current standards include additional technical requirements over the aged standards referenced in certificates. The decision to refuse or issue an amendment must strike a balance between the enhanced confidence (such as regarding safety, labelling or performance) derived from using current standards, and the need for product to remain compatible with installations certified using now-superseded standards.

3.7 Transfer of a Certificate of Conformity

A CoC remains the property of the issuing ANZEx CB.

An application may be made for a CoC to be transferred from one applicant to another with the agreement in writing of both parties. Transfer may be effected following the review and, if necessary, assessment, by the issuing ANZEx CB. Transfer requires that the CoC be amended to reflect the change in the applicant's name (see Section 3.6).

If the changes are more extensive than simply a change of applicant (e.g. changes in manufacturers and part numbers), then additional assessment will be required (see Section 3.6).

NOTES: In the case of modifications to legacy equipment, the equipment owner/operator seeking certification over modifications to items of equipment, may self-nominate as an agent for the affected items of equipment, for the purpose of unit verification (see Section 3.9).

A CoC may be transferred and suspended in a single transaction.

3.8 Other status changes

3.8.1 Withdrawal

An applicant shall be notified in writing by the ANZEx CB about why a CoC has been withdrawn. The applicant has the right to appeal the withdrawal; the certification appeal process of the ANZEx CB will then apply.

Applicants and manufacturers subject to withdrawn certificates shall inform their customers and interested parties of the situation. A fee will be payable to the Administering Body in accordance with the agreed approves schedule of fees.

3.8.2 Suspension and cancellation

Suspension and cancellation of certification is defined in the ANZEx System Rules.

- An applicant may choose to suspend certification temporarily (for example during a location change or during a period of no Ex product manufacturing). Such suspensions would be for a maximum of 12 months and would be followed by a surveillance assessment or re-assessment by the ANZEx CB before the suspension is lifted.
- An applicant may initiate the cancellation of an ANZEx certificate at any time by advising the relevant ANZEx CB in writing.
- A certificate can be suspended or cancelled if the rules and procedures of the ANZEx Equipment Scheme are breached.
- An applicant making modifications to product and/or certification documentation, other than those permitted by certification by the granting of a re-issue to the certificate by the ANZEx CB, breaches the undertaking given at the time of certification and invalidates the certificate. This could lead to suspension, or even cancellation, of a certificate.
- A certificate can be suspended or cancelled if non-conformities during production quality verification assessment are identified.
- A certificate can be suspended or cancelled if the conditions of certification included in the CoC are breached.
- A certificate can be suspended or cancelled if fees or costs owed under the certification agreement with the ANZEx CB are not paid.
- A certificate can be suspended or cancelled if the applicant:
 - becomes bankrupt
 - applies to take the benefit of any law for the relief of bankrupt or insolvent debtors
 - makes any arrangement or compromise with its creditors
 - enters into liquidation (whether compulsory or voluntary, but not including voluntary liquidation for the purpose of reconstruction)
 - has a receiver appointed to its business.
- A suspended certificate shall be cancelled after 24 months.
- An ANZEx CB may, at its discretion, visit the manufacturer before actioning a request for voluntary suspension in order to review the compliance of past production.

Where a CoC is suspended or cancelled, the applicant shall be notified in writing by the ANZEx CB of the grounds for doing so. The applicant has the right to appeal the certificate suspension or cancellation; the certification appeal process of the ANZEx CB will then apply.

The status of the ANZEx certificate shall be updated on the ANZEx database when notification is received from the ANZEx CB.

3.8.3 Revocation of suspension

When the ANZEx CB is satisfied that all effective corrective measures have been implemented, including an on-site visit, the ANZEx CB will notify the applicant in writing that the suspension has been lifted, and will notify the ANZEx System Owner and administering body.

3.8.4 Revocation of cancelled or withdrawn CoC

A cancelled or withdrawn ANZEx CoC cannot be reinstated. An applicant seeking to manufacture a product previously manufactured under a CoC that has been cancelled or withdrawn must apply for a new CoC.

3.8.5 Arrangements when an applicant seeks to change its ExCB for product quality verification assessment

If an applicant wants to use a different ExCB for the quality assessment to that identified in the CoC, the CoC issuing body will review the full audit report (QAR) and then decide if it will accept the QAR provided by the alternative ExCB. If the assessing ExCB is changed, a certificate amendment will be necessary (see Section 3.4).

3.9 Unit verification procedure (formerly Restricted Type Test Certificate)

If a single or defined number of products require certification, these may be certified and a unit verification CoC issued.

Under the unit verification procedure, products are certified on the basis of product assessment and testing against the relevant standard in the same manner as a full certification; however, an assessment of a manufacturer's production quality component (see Section 3.2) is not required.

All products need not be submitted but must be available to the ANZEx CB for testing/inspection. Some items may be inspected at the CB's site and others at the applicant's/manufacture's site, so flexibility is required. All items must be available at the same time to prevent the applicant attempting to avoid product quality verification assessment. The relevant ANZEx CB will determine whether all products or representative samples of products are to be tested. The decision on the accepted number of units is the responsibility of the ANZEx CB.

Individual products certified using a unit verification procedure shall be identified by serial number on both the product and the ANZEx CoC.

NOTE: The ANZEx CB should carefully consider the applications for such certification in order to preserve the integrity of the ANZEx Equipment Scheme, as well as to maintain consistency of approach amongst ANZEx CBs. It is not to be used for applicants attempting to avoid the product quality verification assessment component of the certification process. In this regard, unit verification is intended for certification of a limited, small number of items, and any further application for additional items for unit verification certification for the same equipment should not be accepted. If there are any doubts regarding an application the ANZEx AC should be consulted.

Amendments to unit verification certificates can only be accepted for non-product related matters e.g., to fix documentation, installation address changes and so on. Any modification to the equipment requires a new unit verification certificate.

Appendix A – Identifying Certified Equipment under the System

- A.1** A statement should read ‘THIS *PRODUCT IDENTITY* IS CERTIFIED UNDER THE ANZEx CERTIFIED EQUIPMENT SCHEME’. Other wording indicating compliance with the relevant standards may be used.

If the certificate number is used, it shall be placed in a position that leaves no doubt about the identity of the manufacturer shown on the CoC and the product to which it applies.