

Simtars

Training, Testing and Certification Centre

2 Robert Smith Street, Redbank, Qld 4301, Australia
PO Box 467, Goodna, Qld 4300, Australia
Email: enquiries@simtars.com.au

Phone + 61 7 3810 6381

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Certification Manual – Product Certification

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1.0 PURPOSE

The purpose of this Certification Manual is to describe how Simtars Certification undertakes the provision of third party product certification encompassing the requirements of ISO/IEC 17065 *Conformity assessment—Requirements for bodies certifying products, processes and services*, JAS-ANZ Procedure Number 15 *General Requirements for Bodies Operating Product Certification Schemes* and any specific scheme rules issued by JAS-ANZ for the ANZEx schemes or by IECEx for the IECEx schemes.

Simtars Certification issues certificates of conformity for equipment and overhaul/repair facilities and conducts surveillance of the quality management system of the manufacturer, overhaul/repair facilities or certificate holder to ensure they fulfil the conditions of the certification scheme. Simtars Certification also issues IECEx Conformity Mark licenses to manufacturers of explosion-protected products.

This document shall be reviewed approximately every three years but the right is reserved to modify its contents without notice. It shall be the responsibility of the applicant for a certificate to ensure that the latest issue of documentation is used when making an application.

1.1 Reason for Change

- Added section 26.0 RISK MANAGEMENT – COUNTRY SPECIFIC CERTIFICATION RISKS

2.0 SCOPE

This document specifies the requirements for application, examination, testing, system assessment, certification and reporting for equipment and overhaul/repair facilities, which fully conform to Australian, New Zealand or International Standards and the Rules and Procedures of the following certification scheme and system.

3.0 REFERENCES

AS/NZS ISO/IEC 17065 Conformity assessment—Requirements for bodies certifying products, processes and services.

Australia and New Zealand Certification System Explosive Atmospheres (ANZEx) - ANZEx System Rules

Australia and New Zealand Certification System Explosive Atmospheres (ANZEx) - ANZEx Certified Equipment Scheme Rules

Australia and New Zealand Certification System Explosive Atmospheres (ANZEx) - ANZEx Recognised Service Facility Scheme Rules

MP87.2, Australia/New Zealand Certification Scheme for explosion-protected electrical equipment (ANZEx Scheme) – Part 2: Recognised Service Facilities Program-Basic rules and procedures

ANZEx Technical Guidance Documents (TGDs) - 001, 002, 003, 004, 005, 006

IECEx 01, IEC Scheme for Certification to Standards relating to Equipment for use in Explosive Atmospheres (IECEx Scheme) – Basic Rules

IECEx 02, Equipment Certification Program covering equipment for use in explosive atmospheres- Rules of Procedure

IECEx 03, IECEx Certified Service Facilities Program covering repair and overhaul of Ex equipment – Rules of Procedure

IECEx 04, IECEx Conformity Mark Licensing System - Regulations

IECEx Operational Documents (ODs)

IAF MD 4 – IAF Mandatory Document for the Use of Information and Communication Technology (ICT) for Auditing/Assessment Purposes

IAF ID 3 - IAF Informative Document for Management of Extraordinary Events or Circumstances Affecting ABs, CABs and Certified Organizations

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The requirements of this Manual shall be applied in addition to the requirements of AS/NZS ISO/IEC 17065, Rules and Procedures for the applicable certification scheme or system. The following documents shall be considered in conjunction with this document and will be issued to all applicants for a certificate:

AF0002	Simtars Standard Terms and Conditions of Contract
EF0186	Application for ANZEx or IECEX Certification for Electrical Equipment for use in Explosive Atmospheres
EF0293	Application for Certification of Service Facilities
EF0298	Application & Agreement for IECEX Conformity Mark License
EP0105	Application Process and Conditions of Application for Testing & Certification
EP0114	Application Process for IECEX Certification of Service Facilities
EP0116	Application Process for IECEX Conformity Mark License
EP0117	Certification Complaints and Appeals

4.0 INTRODUCTION

Simtars is a semi-autonomous, professionally independent business unit of Resources Safety & Health Queensland, a statutory body established by Queensland legislation, Simtars' certification activities are offered on an impartial and non-discriminatory basis to applicants on a quoted fee for service arrangement.

Simtars is structured with the following operational centres - Mine Safety Technology & Research Centre (MSTRC), Training Testing and Certification Centre (TTCC), and Occupational Hygiene, Environment and Chemistry Centre (OHECC) with the additional internal functions of the Business Support Centre, quality management, and workplace health and safety management as described in Simtars Integrated Management System Manual QM0001.

Simtars Certification Section of TTCC undertakes the operational functions of the certification body. It does not provide any form of consultancy of the type of product it supplies. The Director of TTCC will periodically review (approximately annually) the operations to ensure that activities of related bodies do not affect the confidentiality, objectivity and impartiality of the certification related activities.

Issue of Certificates by Simtars Certification in no way implies that the certified products, processes or services are approved by the Joint Accreditation Scheme of Australia and New Zealand (JAS-ANZ) or any regulatory body or government and certification system or scheme.

Similarly, the issue of the IECEX Mark Licenses and the use of the IECEX Mark does not imply any legal responsibilities, obligations or liabilities on the part of the IEC or the IECEX Management Committee or Simtars Certification.

5.0 GENERAL REQUIREMENTS

Access to certification and licensing within the scope of this document is available to all applicants. It is not restricted for example on grounds such as the applicant not applying for other services or not a member of a particular group or association. Certification to a specific standard or other normative document will not be denied on the grounds that the applicant does not comply with matters not covered by that standard, such as environmental matters, other than where a potential risk in the use of the product is identified and has not been satisfactorily addressed by the applicant.

6.0 DEFINITIONS

As a general rule, definitions of ISO/IEC Guide 2, ISO/IEC 17065, AS/NZS ISO 9000 and the applicable Certification Scheme are applicable. The following definitions either vary or supplement those definitions to cater for the requirements of JAS-ANZ accreditation and include the International Accreditation Forum (IAF) recommended definitions.

Applicant: An organisation that seeks to obtain a certificate of conformity or license from a certification body.

Accreditation: Procedure by which an authoritative body (such as JAS-ANZ) gives formal recognition that a certification body is competent to carry out specific tasks.

Accreditation Council: A governmental or non-governmental body, which conducts and administers an

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accreditation system (Joint Accreditation System of Australia and New Zealand (JAS-ANZ)).

Assessment: A pre-certification or accreditation audit activity designed to evaluate conformity of products, services or systems with criteria specified by the Accreditation Council or by a relevant Australian, New Zealand or International Standard.

Audit: A verification activity aimed at evaluating conformity of products, services or systems with all or part of specified requirements.

Certification: Procedure by which a third party gives written assurance that a product, service or system conforms to specified requirements.

Certification Body: A body that conducts certification of conformity.

Certificate of Conformity (COC): Document issued under the rules of a certification system, indicating that adequate confidence is provided that a duly identified product, process or service is in conformity with a specific standard or other normative document.

Certification Scheme: Certification system as related to specified products to which the same particular standards and rules, and the same procedure, apply.

Certification System: System that has its own rules of procedure and management for carrying out certification of conformity.

Inspection Body (for certification): Body that performs inspection services on behalf of a certification body.

Inspection Services: Include such functions as assessing, recommending for acceptance and subsequent audit of suppliers' production and testing facilities, personnel and quality control operations, and selection and evaluation of products on site or in factories, laboratories or elsewhere as directed.

License: A document issued by an IECEx Certification Body authorizing a Licensee to use the IECEx Conformity Mark.

Licensee: An applicant to whom an IECEx Conformity Mark License is issued under the IECEx and Simtars Terms and Conditions.

Nonconformity: Deviation of product from specified requirements, or (if the product certification system includes assessment of the supplier's management system) the absence of, or failure to implement and maintain, one or more required management system elements, or a situation which would, on the basis of available objective evidence raise significant doubt as to the conformity of what the supplier is supplying.

Normative document: Document that provides rules, guidelines or characteristics for activities or their results.

Reassessment: A periodic certification activity designed to re-evaluate conformity of product, service or system with criteria specified by the applicable certification scheme or system.

Registered Auditor: A person certified and registered by an accredited Auditor certification body as having met all the approved criteria and thereby being judged competent to perform conformity audits for certification and/or accreditation purposes.

Standard: Document established by consensus and approved by a recognised body that provides, for common and repeated use, rules, guidelines or characteristics for activities or their results, aimed at the achievement of the optimum degree of order in a given context.

Supplier: The party that is responsible for the product, process, or service and is able to ensure that quality assurance is exercised. The definition may apply to manufacturers, distributors, importers, assemblers, service organisations, licensee, etc.

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Surveillance: An audit program, conducted over the full reassessment cycle, designed to provide confidence that products, services or systems, continue to conform to the assessment criteria and terms & conditions of license.

7.0 ADMINISTRATIVE STRUCTURE

The governing body for Simtars Certification Body is the Simtars Certification Governing Board, membership of which is defined in document EP0102 *Charter for Simtars Certification Governing Board*.

Simtars Certification Governing Board is advised by Simtars Certification Advisory Committee. The Committee is selected as outlined in document EP0096 *Charter for Simtars Certification Advisory Committee*, and appointed by Director - TTCC. The selection is such that no single interest predominates with details included in the Charter. Members are bound by the requirements set out in the Charter.

All certification personnel have to abide by a “Code of Conduct” as a condition of their employment, and their work is subject to review. The Code of Conduct addresses confidentiality, impartiality and conflict of interest. Certification personnel also sign a confidentiality, impartiality and conflict of interest statement.

Committee Members, Subcontractors and Consultants are required to sign conditions of contract which address confidentiality and impartiality.

The organisational overview is provided in Figure 1 to demonstrate the legal status of the certification body. Significant changes to this structure shall be brought to the attention of JAS-ANZ. The organisational relationships within Simtars associated with the overall certification function is shown in Figure 2.

8.0 RESPONSIBILITY

The responsibilities of the participants in the scheme are as follows:

Simtars Certification Governing Board

Details are provided in the document EP0102 – *Charter for Simtars Certification Governing Board*.

Simtars Certification Advisory Committee

Details are provided in the document EP0096 – *Charter for Simtars Certification Advisory Committee*.

Applicant

The applicant is required to follow the application process detailed in the following procedures:

For Explosion-protected (Ex) equipment certification

EP0105 *Application Process and Conditions for Simtars Certificate of Conformity for Electrical Equipment for Explosive Atmospheres*.

For Ex Equipment Overhaul and repair facilities

EP0114 *Application Process for IECEx Certification of Service Facilities*.

For IECEx Conformity Mark License

EP0116 *Application Process for IECEx Conformity Mark License*.

Issue of a certificate or license does not absolve the holder of a duty of care obligation that all equipment remains strictly in compliance with the relevant requirements of the standard and conditions contained in the certification documents or terms and conditions of the license.

9.0 CERTIFICATION PERSONNEL

Recruitment of personnel is carried out in accordance with RSHQ procedures available on their intranet site.

Simtars Certification have procedures (EP0090 - *Procedure for assessing competency of certification personnel*) in place to ensure that personnel involved in certification are competent, suitably trained and qualified to undertake the required functions. Simtars maintains a documented list of personnel deemed competent in performing specific functions relating to certification.

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Where the product certification scheme(s) require the assessment to ISO 9001 and the requirements of the relevant certification scheme, the assessment will be undertaken by either Simtars Certification or an appropriately accredited certification body accompanied by a person with expertise in the explosion protection technique concerned.

Personnel engaged on contract and staff of bodies to which work is subcontracted will be assessed in accordance with QP0012 *Assessing Competency of Personnel*. If inspecting or testing is carried out on behalf of Simtars Certification by an external body, Simtars Certification shall ensure that this body conforms to the requirements stated above.

Assessments conducted by other IECEx certification bodies will be accepted subject to a review.

10.0 IMPARTIALITY AND CONFLICT OF INTEREST

Simtars Certification accepts responsibility for certification activities to be taken impartially and shall identify and manage any risks where commercial, financial or conflicts of interest may compromise impartiality irrespective of whether these risks arise from persons within or external to Simtars.

Any of the following persons may be placed in situations where a potential conflict of interest could, or be seen to, jeopardise impartiality:

- Simtars Certification Governing Board
- Simtars Certification Advisory Committee Members
- Simtars Personnel
- Members of other accreditation bodies, including auditors
- Subcontractors, auditors and experts

All such persons must declare any known interest in or connections with the applicant, before undertaking the work, or before or when the situation arises. Such interests or connections apply to past, present and future involvement and may include but not limited to:

- having been involved at some stage with the product in its design, supply, manufacture or maintenance by way of any consultancy service or commercial arrangement;
- having worked with, or consulted to the organisation in the past two years; or reasonable future prospect of such work;
- any immediate family member working with or consulting to the organisation in the past two years; or reasonable future prospect of such work;
- owning shares or any immediate family member owning shares in the organisation or parent organisation;
- having an immediate family member having any other commercial or voluntary arrangement or directorship with the organisation;
- having a relationship with either an applicant or any accreditation body; or
- in direct competition with an applicant or accreditation body.

Declarations would normally be in writing, but the situation may arise (eg Advisory Committee Meetings) where a verbal declaration is necessary. Such declarations and the outcomes are recorded in the minutes of the relevant meeting.

Any person in doubt about whether a potential conflict of interest exists shall immediately place the facts before the members of the relevant committee, and/or Director - TTCC.

Simtars Certification shall periodically and at least once in any calendar year identify and review any threats to impartiality and shall review actions in place to address the risks and implement any additional actions necessary to ensure impartiality. This review shall be recorded on EF0339 *Review of Impartiality of Certification Activities*.

The review shall be presented to the Simtars Certification Advisory Committee for comment, endorsement or proposed amendments.

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11.0 INTEGRATED MANAGEMENT SYSTEM

Simtars operates a third party certified integrated management system to AS/NZS ISO 9001 covering all operations including testing, assessing and certification activities. The quality system covers the following requirements of ISO/IEC 17065:

- organisation
- operations
- quality system
- internal audit and management review
- documentation
- records

Refer QM0001 *Simtars - Integrated Management System Manual* for further details on these topics.

The Management System documents are controlled, issued, retained or withdrawn in accordance with the procedure QP0010 *Procedure for the Administration and Control of Documents*.

12.0 TESTING AND INSPECTION FACILITIES

The TTCC have the required resources, including test facilities, calibration laboratory, highly trained personnel, procedures and work instructions, to perform the tasks of:

- Assessment and testing of product including its design
- Inspection of product
- Inspection of manufacturing and repair facilities
- Assessment of Quality System elements associated with certification schemes listed in 3.0

The testing facility and the staff of TTCC have been recognised by NATA for laboratory accreditation. The scope of accreditation is included in Simtars Integrated Management System Manual.

Where external testing service providers are utilised, an assessment shall be conducted in accordance with procedure, QP0012 *Assessing Competency of Personnel*, to confirm the suitability and competency of the provider to satisfy the requirements of ISO/IEC 17065 and/or AS ISO/IEC 17025 as appropriate. A record of such assessment will be maintained.

An applicant's approval for the use of external testing services must be obtained and Simtars Certification will be responsible to the applicant for the work performed.

A register of all relevant external bodies employed by Simtars Certification is maintained in EF0193 *Register of Accepted External Service Providers*. Documented agreements with all external bodies shall be made available for scrutiny by JAS-ANZ.

13.0 CERTIFICATES OF CONFORMITY

Certificates of Conformity issued by Simtars Certification remain its property unless required otherwise by the applicable certification scheme.

13.1 Information on Certificates

Each Certificate will have the information required by the applicable certification scheme including:

- (a) Drawing numbers, with relevant revision references and dates (if applicable)
- (b) JAS-ANZ endorsement logo (for CoCs issued under the Australian Certification Schemes)
- (c) Any other product marking or marking required by Simtars Certification

13.2 Component Certification

Component Certificates are issued to cover a part of the equipment which cannot be used alone in hazardous areas such as empty flameproof enclosures, terminals, or a piece of electrical equipment with bare live conducting parts. An applicant requiring a Component Certificate must submit an application in accordance with the application procedure and rules of the applicable Certification Scheme.

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13.3 Conversion of Enclosures having Component Certification to Full Certification

The holder of a Component Certificate is required to apply for product certification if an enclosure which has a Component Certificate, is fitted out with internal equipment. An applicant requiring a Certificate of Conformity must submit an application in accordance with the Application Procedure.

13.4 Certification of Assembled Components

Assessment and testing of assembled components will be in accordance with the relevant standard. Each separately certified product is to be appropriately marked.

The marking plate/s for the whole assembly or its various components shall show appropriate markings in accordance with the relevant standard.

13.5 Supplementary Certification

Supplementary certificates are generally issued to cover the following:

- (a) A modification to certified equipment
- (b) An extension to certified equipment in the form of a new model or a new option
- (c) A change in one or more of the components which form part of the certified equipment
- (d) A change of catalogue or part number
- (e) A change of brand or trade name
- (f) A change in name or address of the Certificate holder
- (g) A change of name of manufacturer
- (h) Any changes listed in the applicable certification scheme
- (i) Change in scope of service provided by overhaul and repair workshops
- (j) Changes that may compromise compliance of certified product or service provided by overhaul and repair workshops

An application for a new issue of an existing ANZEx or IECEx certificate issued by Simtars Certification must be submitted to Simtars Certification. For modifications of a minor nature, Simtars Certification may elect not to carry out any physical testing.

Only the holder of the Certificate or an authorised agent can make an application for a new issue of an existing certificate. If an agent lodges the application, evidence will be required that the manufacturer undertakes to abide by the rules of the certification scheme. In the event of change of certificate holder, application shall be lodged by the proposed certificate holder. A letter from a Senior Executive of the existing certificate holder must accompany the application to confirm that it is their (the original certificate holder) intent to change the certificate holder.

13.6 Certificates to Superseded or Revised Standards

For both ANZEx and IECEx certification, product certificates shall be updated to the current version of the applicable standard within the period specified by the certification scheme's Administration/Management Body.

13.7 Certificate Issue

Simtars Certification will ensure that the certification decision is made by personnel independent of the testing or assessment process and will not delegate authority for this decision.

Simtars Certification will issue a Certificate of Conformity to the holder only when all requirements have been met including the payment of all fees and charges. All drawings and marking details must be fully resolved before Simtars Certification will issue a final report. Simtars Certification will advise applicants when requirements have not been satisfied.

The Certificate holder shall ensure that:

- This Certification Manual and Application Process have been read and understood.
- Certificate Number or overhaul/repair mark is only applied to goods identified in the Certificate of Conformity and which comply with the relevant standard.
- That the product is manufactured in accordance with the drawings and conditions specified in the Certificate and test report.
- Modifications are not made to equipment before applying and obtaining a new issue of an existing certificate covering such modifications.

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- Simtars Certification is advised of any alterations to the above conditions.
- Simtars Certification is notified of any changes that may compromise compliance of the Ex product or overhaul/repair services
- Simtars Certification is notified of changes in scope of work of overhaul/repair services and departure of competent persons from Certified Service Facilities.

The applicant shall be notified in writing if a certificate is not to be issued, including the reasons.

13.8 Purchaser of Equipment

A copy of the Certificate shall be made available to the purchaser of the certified equipment on request to the Certificate holder or the holder's agent. For IECEx certificates, the purchaser shall be advised of the URL for the on-line certificate. Where the Certificate refers to specific requirements for the installation and safe use of the equipment, details of these requirements must be provided with the equipment.

The provision of other documents, such as drawings, would normally be subject to agreement between the Certificate holder and the purchaser of the certified equipment.

14.0 NUMBERING OF CERTIFICATES

Certificates of Conformity, Component Certificates and Addenda to Certificates shall be numbered in accordance with the marking requirements of the applicable standard(s) or as required by the applicable scheme rules (ANZEx, or IECEx).

15.0 VALIDITY OF CERTIFICATES OR LICENCES

A Certificate of Conformity or IECEx Conformity Mark license may be cancelled or withdrawn by Simtars Certification

- (a) for a breach of the conditions of certification/license
- (b) previously certified equipment is no longer suitable
- (c) for breach of rules and procedure of the certification/license Scheme
- (d) for failure to pay fees, costs or charges for testing, assessment and certification (including timely maintenance of validity)

Note: A certificate holder carrying out a modification to the equipment that may affect explosion protection without having the modification recognised by a new issue of an existing certificate, breaches the undertaking given at the time of certification and invalidates the certificate.

The certificate holder can apply at any time to have the equipment re-tested and certified to a new or revised standard. Where possible, tests which are new or which have become more stringent will be applied.

16.0 LIMITATIONS OF THE IECEx CONFORMITY MARK LICENSE GRANTED TO Simtars Certification

The following limitations shall apply to Simtars Certification when issuing IECEx Conformity Mark Licenses:-

- (a) Simtars Certification will issue IECEx Conformity Mark Licenses in accordance with the Regulations, IECEx 04 and Section 2 of IECEx OD 022 and its agreement as amended.
- (b) Simtars Certification may only grant an IECEx Conformity Mark License to holders of an IECEx Certificate of Conformity which they have issued.
- (c) Simtars Certification shall not allow any third party to issue an IECEx Conformity License on their behalf.
- (d) Simtars Certification shall inform the IECEx Secretariat of any changes in their operation or organisation that may prevent the ExCB from fulfilling their duties under IECEx OD 022 or the IECEx Conformity Mark Regulations, IECEx 04, and
- (e) Simtars Certification acknowledges that as owner of the IECEx Conformity Mark, the IEC may withdraw the license and prevent the ExCB from issuing IECEx Conformity Mark Licenses to manufacturers at any time.

17.0 ACCEPTANCE OF TEST REPORTS

Acceptance of test reports from other than Simtars Certification shall be assessed for suitability on a case by case basis by the relevant Section Head or the Director TTCC. The criteria and basis of acceptance shall be recorded.

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Simtars Certification will only accept NATA endorsed test reports from other Australian test laboratories where relevant and the scope of accreditation of the issuing test facility includes the relevant standards.

Reports from overseas test laboratories covering equipment tested in accordance with Australia/New Zealand Standards or IEC standards will be accepted, subject to review, where the overseas accreditation body is a signatory under the ILAC Mutual Recognition Agreement (ILAC MRA) and the scope of accreditation of the overseas test laboratory includes the relevant standards.

Test reports issued under the IECEx Scheme or the ANZEx Scheme will be acceptable as the basis for issuing an IECEx or ANZEx certificate of conformity respectively. All reports will be subject to review for compliance to this document, IECEx rules and Simtars Certification accreditation and certification (e.g. JAS-ANZ and NATA) requirements.

18.0 EXTERNAL SERVICE PROVIDERS

External service providers are assessed in accordance with QP0012 Assessing Competency of Personnel, documented on form EF0192 *TTCC Assessment Form – External Service Provider and Contractor* and registered on form EF0193 *Register of Accepted External Service Providers*.

When necessary, services/testing may be out-sourced by Simtars Certification. The services/testing provider is required to complete form EF0197 Acceptance of Simtars Purchase Order prior to commencement of testing. This form addresses confidentiality, conflict of interest and provides a declaration of NATA accreditation.

19.0 CONFIDENTIALITY

Confidentiality between Simtars Certification and its clients is addressed in Simtars quality policy statement and in the Simtars “Standard Terms and Conditions of Contract”. Unless compelled by legal process or, in the reasonable opinion of Simtars Certification, the product poses a real or potential risk to the health or safety of users, Simtars Certification will not divulge information relating to testing or certification details of a client to a third party without the consent of the client. Where required by law to divulge client information or because of a real or potential risk to health and safety, the client shall be advised of the information disclosed.

Information about a client from sources other than the client (e.g. other clients, regulators) is treated as confidential.

All Simtars Certification personnel have to abide by a “Code of Conduct” as a condition of their employment, which also addresses confidentiality and impartiality. A “Confidentiality and Impartiality Agreement” shall be signed by the following:

- all agents, subcontractors, technical advisers or experts and any other persons engaged to provide certification related services to Simtars Certification.
- all members of specialist committees, such as Simtars Certification Advisory Committee together with any advisers with input to such committees, or Board.

Access to archived files is subject to the requirements of this clause.

20.0 COMPLAINTS TO CERTIFICATE HOLDERS

Each certificate holder shall keep a record of all complaints and corrective actions relative to the product covered by the certificate. The records of these shall be made available to Simtars Certification and the authorised representatives of JAS-ANZ on request. This requirement is not applicable to product certification schemes based wholly on type test. Where notification is received from a certificate holder of non-conforming product, the non-conformity and the basis for the claim will be reviewed and the need for assessment, testing or re-assessment will be identified.

21.0 MISUSE OF CERTIFICATES OR IECEX MARK LICENSE

This document covers the control and use of certification markings with guidelines on action to be taken in cases of misuse.

Any alleged misuse of Simtars Certification issued certificates or the IECEx Conformity Mark including incorrect references found in catalogues, advertisements etc, will be investigated and dealt with by suitable

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actions.

22.0 WITHDRAWAL, SUSPENSION AND CANCELLATION OF CERTIFICATES OR LICENSE

When a certificate holder or licensee fails to maintain their products, services or quality management system in conformance with the requirements of the certification scheme, applicable agreement or timely maintenance of certificates - the certificate and/or license may be suspended or reduced in scope for a limited period to enable urgent corrective action to be undertaken. During the period of suspension, the certificate holder or licensee shall not claim compliance with the requirements of the selected standard and shall not be entitled to use the applicable marking. When a certificate holder or licensee has its certificate/license suspended, this suspension shall only be lifted after Simtars Certification has verified that the product or services fully complies with the requirements of the scheme, appropriate standard and certificate.

A certificate/license may be suspended until such time that a change to manufacturing process or quality system (for Type 5 certification) has been assessed and found to be satisfactory.

Failure to implement an appropriate corrective action during the period of suspension shall result in withdrawal of certificate or license. In addition, cancellation of the certificate/license shall be followed up with notification to the following:

- JAS-ANZ (for JAS-ANZ endorsed certificates)
- Secretary of IECEx MC (for IECEx certificates & licenses)
- Administrator and Secretary JAS-ANZ (for ANZEx certificates)

The authority to make the decision of suspension, withdrawal or cancellation will not be delegated by Simtars Certification.

A certificate holder has the right to voluntarily suspend their certificate/license provided that they inform Simtars Certification. Should this occur the appropriate conditions set out in the first paragraph will apply.

The certificate holder shall be notified in writing of all actions taken in relation to withdrawal, suspension or cancellation of certificates or license, including the reasons.

23.0 APPEALS, COMPLAINTS AND DISPUTES

Complaints or disputes regarding Simtars certification process may be made by any party and must be made in writing.

The process to receive, evaluate and make decisions on appeals is documented in EP0117 Certification Complaints and Appeals, which is publicly accessible on the Simtars' web site or on request. Simtars Certification will gather and verify all necessary information to validate an appeal or a complaint. The appeals and complaint processes shall be strictly non-discriminatory and shall not result in any discriminatory actions against the appellant.

When an applicant considers a decision of Simtars Certification to be unreasonable or unfair an appeal may be lodged in writing to Simtars Certification Governing Board. If the complainant is not satisfied with the outcome or response, a further appeal may be lodged with Simtars Certification Advisory Committee. For IECEx certification a complainant has the right of appeal to the IECEx Board of Appeal (refer IECEx 01: IEC Scheme for Certification to Standards relating to Equipment for use in Explosive Atmospheres (IECEx Scheme) – Basic Rules) if not satisfied with the Simtars Certification Advisory Committee outcome.

Simtars Certification shall keep a register of all formal complaints, disputes and appeals received, detailing the circumstances of each complaint and the action taken.

The internal handling of appeals, complaints and disputes shall be in accordance with instruction QI0006 *Instruction for Processing Customer Feedback* and AS ISO 10002 *Guidelines for complaints management in organisations* and any corrective action arising as a result of any appeal or complaint process shall be handled in accordance with instruction QI0004 *Raising, Processing, Monitoring and Verifying Actions*.

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24.0 PUBLICATIONS

Simtars Certification provides copy of certificates to the Administrator of the Australian Certification Scheme (ANZEx) for listing on its internet based certification database. Simtars Workwise database is utilised to record all necessary information for internal use. Details of JAS-ANZ endorsed certificates are registered in the JAS-ANZ web site. IECEx certificates & licenses can be accessed from the IECEx web site.

Other public documents available on the Simtars website and on request include:

- TTCC Profile outlining the type of services provided ([Simtars Certification Services](#))
- Procedure for handling complaints, appeals and disputes and detailing the obligations of certificate holder and licensee. (“Simtars values your feedback” button on the above web page.)

25.0 THE USE OF ICT FOR AUDITING/ASSESSMENT PURPOSES

The use of Information and Communication Technology (ICT) for auditing/assessment purposes allows for remote location auditing and should normally be reserved for extraordinary circumstances beyond the control of Simtars certification which prevents travel or entry to site. However, there are times that ICT may be used to complement a site audit where it can be shown that the use of ICT does not diminish the quality and outcomes of the audit.

Where a site audit is not possible for any reason, doing nothing is not acceptable. A plan to ensure continued compliance of the quality management system shall be prepared and shall include the extent of ICT used.

Before considering remote auditing, determine whether the audit can proceed onsite with travel.

1. If yes we can travel, then the audit should proceed as normal.
2. If no we can't travel, can the audit proceed using alternative methods and has the client agreed to an audit using ICT?
 - a. If yes, proceed with the remote audit. The following methods or combination of methods may allow the audit to proceed using ICT but facilities need to be verified prior to confirming the audit:
 - i. Video conferencing (e.g. Skype) to enable (entry and exit) meetings, sighting of documents, facilities and testing/measurements.
 - ii. Required access to documents either directly (e.g. remote access to the QMS documents) or send documents directly to the auditor (e.g. emails, file sharing).
 - b. If no, consider deferring the audit or suspension and document the decisions in the client file noting the limitations for deferral in IAF ID 3 and IECEx OD 060 up to a maximum 6 months with no outstanding non-conformances or no known complaints or concerns.

Should the remote audit proceed, all other audit requirements should be adhered to and an audit report issued. The audit report summary shall include details of the extent of any ICT used in the audit and its effectiveness. Security and confidentiality needs to be maintained during the audit and assessment activities.

In selecting the auditor, an auditor shall be trained in the use of ICT and it is advisable to choose an auditor who has previously audited the facility and is conversant with their quality system and operations.

Simtars does not include virtual sites in its scope of audits (manufacturing).

26.0 RISK MANAGEMENT – COUNTRY SPECIFIC CERTIFICATION RISKS

In addition to the government requirements for travel approvals and DFAT recommendations Simtars acknowledges and manages the risks associated with the certification services provided to overseas entities which include but not limited to:

- Social and Cultural values and practices
- Misuse or misrepresentation of the certification

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Simtars testing, auditing and certification staff shall conduct themselves in no way any different from how they would conduct a national certification and comply with the government Code of Conduct and Ethical Decision Making.

Where Simtars issues certificates and relies on an IECEx audit from another IECEx ExCB to maintain an IECEx or ANZEx certification as allowed for in the certification schemes, it is considered that the risk associated with that certificate has been addressed. Should Simtars be aware of any issues with the certification, action shall be taken which may include suspension or cancellation of the certification.

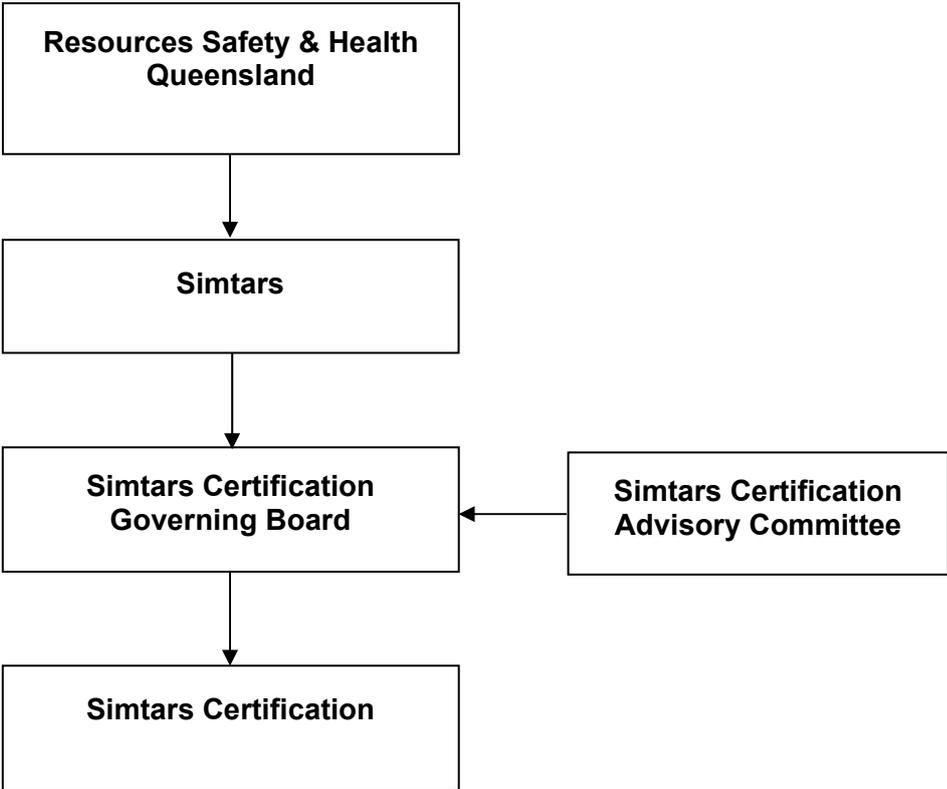
Where Simtars conducts the audits for a Simtars issued certificate, risks related to the travel and the onsite conduct of the audit shall be reviewed and documented prior to the audit. Where an analysis is required, only after the risk has been analysed and accepted should the certification proceed. There are several useful guides available on the internet, two such pages are:

<https://www.austrade.gov.au/australian>

https://www.allianz-trade.com/en_US/resources/country-reports.html

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FIGURE 1 – ORGANISATION OVERVIEW



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FIGURE 2 – SIMTARS ORGANISATION RELATED TO CERTIFICATION

