

Guide for New Certificate, Transfer, Co-Licence or Modification Application



This Guide (AICAS-OM0301) will assist you in providing sufficient information to minimise delays in processing your Application for New Certificate, includes a Co-Licence, Transfer or Modification of certificate via our Online Application System or using form AICAS-0300. This document, although specifically for hard copy Forms, will also assist with AICAS Online Application System regarding documentation that is required. The Online Application System is faster and easier to use.

Please make certain that you are using the current version of this Guide and the Application Form by checking online at www.acas.com.au. Our website also has a Frequently Asked Questions page that can also assist you through the process.

Australian International Certification & Approvals Service Pty Ltd (AICAS) focuses on providing an efficient electrical equipment safety certification approval service with definite time frames. This allows manufacturers, importers, and suppliers to plan a fast and efficient delivery of their electrical equipment and products into the marketplace.

Note1: AICAS is not an approval consultancy and only provides aid for completion of an application and do not provide consulting services.

Therefore, if you are not familiar with the requirements of electrical equipment certification, it is recommended that a specialised approvals consultant be engaged. These consultants know the regulatory requirements and understand the Electrical Equipment Safety Certification Scheme which may save you time, effort and money thus achieving a faster entry of your electrical equipment or product into the marketplace

Note 2: Please take your time to carefully complete all details as requested below and supply all required documentation. An incomplete application may be rejected.

Applicable Parts to be complete by:

New Certificate:	A, B, C if applicable, D, E, F, G, G1, H, I
Modification:	A, B1, C if applicable, D, E, F, G, G1, H, I
Co-Licence:	A, B, B1, C if applicable, D, G, G1, H, H1, I
Transfer:	A, B, B1, C if applicable, D, G1, H, H1, I
Consultant:	As above and HC + Applicant/Cert Holder declarations required.

Part A. Application Details

Type of application: Tick applicable box and add Cert No as required.

For Online Application click down arrow and select the type or if completing it in a Word document click the applicable box or if completing by hand tick the box.

Part B. Applicant/Certificate Holders Details used for New, Co-Licence & Transfer

- Business name:** Enter the name of the Company who is to be the Certificate holder and will be responsible for the electrical equipment. Unregistered business, company or trading names will not acceptable.
- Street address:** The street address as registered under the business name.
- Postal address:** Enter the business postal address if different from the street address.
- ABN/ACN/ARBN:** Australian based applicants are to include their Australian Business Number (ABN) or their Australian Company Number (ACN).
International applicants should provide the Australian Registered Body Number (ARBN) under which they conduct business in Australia if applicable.
- Contact details:** Is the name of the person who owns the business or is an employee of the business who has the delegated authority to act for the business in electrical safety certification matters.
The contact details to include full name, phone and/or mobile numbers and to include country code, email address.

Note: If applying for Modification, then the details will be as per the Main Certificate.

Part B1. Current Certificate Holders Details for Modification, Co-Licence & Transfer

- Business name:** Enter the name of the Company who is to be the Certificate holder and will be responsible for the electrical equipment. Unregistered business. company or trading names will not acceptable.
- Street address:** The street address as registered under the business name.
- Postal address:** Enter the business postal address if different from the street address.

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ABN/ACN/ARBN: Australian based applicants are to include their Australian Business Number (ABN) or their Australian Company Number (ACN).

International applicants should provide the Australian Registered Body Number (ARBN) under which they conduct business in Australia if applicable.

Contact details: Is the name of the person who owns the business or is an employee of the business who has the delegated authority to act for the business in electrical safety certification matters.
The contact details to include full name, phone and/or mobile numbers and to include country code, email address.

Note: If applying for Modification, then the details will be as per the Main Certificate.

Part C. Consultant Details

If a consultant or agent is being used, they must complete the details of their company.

AICAS will direct all communications relating to this application through the contact person as named in this **Part C**.

A Declaration or a letter of authority for the consultant/agent to act on behalf of the applicant must be supplied. This must also include a declaration regarding AICAS Terms Conditions and Obligations. Note: Templates for the required declaration are available at aicas.com.au/application forms.

Part D. Product Details (for a Modification, Co-licence or Transfer use existing certificate details)

Product description: This is a description of the electrical equipment. There needs to be sufficient information included to best describe your product, however, please keep it relatively brief. This information will be included on the Certificate and AICAS may modify and/or add further details.

Note: For the next two items the brand name and model must be matched and must be on the label/markings for the product. If more than one brand name for one specific model number, please list as applicable. If these are different than in the test report a correlation of report model/s to your models/s is required.

Note: If applying for Modification, then the details will be as per the Main Certificate.

Brand or trade name: **Note: Your application cannot be processed without a trade/brand name.**

An electrical product is required by law to be marked with a traceable supplier identity such as your brand, trade or company name. It also serves as brand recognition in the marketplace and a contact point for your customers for service, repairs (if required) or other information.

Please provide the brand or trade names or your company name that will be marked on the manufactured electrical product to be sold in Australia and/or New Zealand.

If you use or are planning to use other trade names on your products, please provide a complete list of them. They can be included under the General Modification or under the Additional Models if they relate to specific model numbers.

Note: If applying for Modification, then the details will be as per the Main Certificate.

Main model identifier: This is the models' catalogue, part number or name to be marked on the product to identify the specific product model. It must be identical to what will be on the product label and as in the test report.

Note: The application cannot be processed without a model identifier.

If you have additional models, please provide the details in Part E Additional Models.

Note: If models are not in the report, then a model correlation between the test report models and the marked models must be supplied. Please ensure that this is provided to avoid any delay in the application process.

Note: If applying for Modification, then the details will be as per the Main Certificate.

Electrical rating: These are the electrical rating details as required by the Standard/s and to be marked on the product label for the main model.

The required minimum details are:

- Rated voltage, rated frequency, rated input current and/or power
- For a power supply or charger, the rated output voltage and current/wattage/VA must also be included.

The rating must be the values that will be marked on the main model as explained above and must align with the values recorded in the test report for that model. If not, an explanation for the differences between the marked values and tested values must be supplied. Please ensure that this is provided to avoid any delay in the application process.

Note: If applying for Modification, then the details will be as per the Main Certificate.

***Other marking:** This is an **optional** field. Used for other information that is marked on the product such as the type of gas used in refrigeration or air conditioning equipment. AICAS will use this field to identify pertinent details or the other markings. **Note:** Any added details in this field will appear on the certificate.

Manufacturer's name and address: This is the name and address of the manufacturer of the electrical product to be approved.

Note: If applying for Modification, then the details will be as per the Main Certificate.

Part E. Additional Models (for New or Modification)

For a New Application, list all additional models with brand name and the ratings. You may also include all of the differences between them and the main model or other listed model. Only the **Model number, Brand and Ratings** listed will appear on the certificate. There must be a traceable link back to the main model.

Note: If the model identifier/s are different to models listed in the report then a model correlation must be provided, refer to 'Section C. **Additional Information Required**' below.

For example: - ABC is the main model and there are 3 more models in your range, ABB, ABD and ABE:

If there is insufficient space to list your models attach a separate sheet in the same format. A spreadsheet template is available to list numerous models available at aicasau.com/application forms.

If your application is for a modification only, list only the additional models required not the models that are already listed on the certificate.

Note: An additional Modification Fee will be applied for numerous models or where complex assessment is required.

Note: If applying for Modification, then only list new additional models.

Part F. General Modifications (for New or Modification)

Provide a list of changes that affect one or more models: - For example if two or more brand names are used list them here except for the one listed in Part 4, or if a particular component or colour change or new supplier of the plug and cord that affects a model or a number of listed models.

This may be included as part of your new application for certification.

If your application is for a modification only, list only the changes required not the details that have already been listed on the certificate.

Note: An additional Modification Fee will also be applied where complex assessment for this Part is required.

The Part G - Covers the Evidence of Compliance documentation to support your application

This is the acceptable evidence to demonstrate that your product meets the relevant requirements and to ensure faster process time of your application. To support you in supplying adequate and acceptable evidence see for 'Evidence of Compliance' sections A to D pages 5-7 below

Part G. Evidence of Compliance - Test Report Details (for New, Modification and Co-Licence)

(See "Evidence of Compliance" section B on page 5 below for more info)

May not be required for Co-Licence depending if existing authorises use of existing reports on AICAS file or provided separately to the Applicant.

List all test reports here including EMC reports if applying for EMC Compliance. If there is insufficient space additional rows can be added or attach separate list in the same format.

Important: The test report must be endorsed and marked with the test laboratory's accreditation logo.

The test standard must be listed in the test laboratories accreditation documentation.

Report date/s: This is the date on the report that indicates when the report was produced.

Name of testing laboratory: This is the name of the laboratory which performed the testing.

Test report number/s: This is the unique identification number and is on every page that is traceable back to the issuing laboratory. Reference ISO/IEC 17025.

Test Standard/s: This is the Safety standard number/s that the electrical equipment was tested to. It will be recorded on the test report. Enter full details of standard number and version including any amendments.

More details on acceptable test reports can be found under 'Evidence of Compliance' section B on page 5.

Part G1. Evidence of Compliance - Additional Information Required (for all)

Guide for New Certificate, Transfer, Co-Licence or Modification Application



This part is for additional documents and information that must be provided. The list provided is the main items but not limited to these, see 'Evidence of Compliance' section C on page 6. You may add any supporting documents that contributes to demonstrating compliance of the product/s submitted for certification

Part H. Declaration by Applicant (for all application types except Modification)

If the application form is completed by the Applicant, this declaration **must** be signed by the owner of the business whose details appear in Part B, or

An authorised employee of that business who by their position or appointment has authority to act on behalf of the applicant.

By signing the application form you are declaring that you have a copy of the **AICAS** Terms, Conditions and Obligations, have read and understood the documents and will adhere by them. Any breach of the requirements may result in your Certificate being withdrawn immediately.

Part H1. Declaration for a Modification, Co-Licence, Transfer by the current Certificate holder

If the application form is completed by the existing Certificate Holder, this declaration must be signed by the owner of the business as per the details in **Part B1** or an authorised employee of that business who by their position or appointment has authority to act on behalf of the applicant.

By signing this application form you are declaring that you have read and understood the Terms, Conditions and Obligations of the AICAS Electrical Equipment Certification Scheme and will abide by them.

Note: Be aware that once the Certificate is transferred, the new Certificate Holder is responsible for all products sold under the Certificate number from the original issue date of the Certificate.

Part HC. Declaration by Consultant

If the application form is completed and/or submitted by a consultant, this declaration **must** be signed by consultant authorised to obtain product certification on behalf of the applicant.

A copy of the document of authorisation must accompany the application.

The consultant must ensure that the applicant is supplied with the **AICAS** Terms, Conditions and Obligations and the applicant provides the consultant with a signed declaration as per Part H. above.

This declaration must accompany the application.

Note: Each application is considered as new submission and therefore the declarations mentioned above must accompany each application.

Note: **Templates of the required declarations are available at aicasau.com/application forms.**

Part I. Payment of Fee

The application fee is required when the application is submitted.

The application assessment will not be initiated unless full payment of the fee is received.

A tax/Invoice receipt will be issued for all payments and enclosed with the Certificate is issued.

All fees are non-refundable regardless of the outcome of the application as stated in the **AICAS** Terms, Conditions and Obligations.

The Fee Schedule (Form AICAS-OM0400) is available on request or online at www.aicas.com.au.

Payment is available by:

1. Electronic Funds Transfer (EFT): **AICAS** bank details are on the Application Form. When making the payment please ensure that a copy of the payment transaction is forwarded to **AICAS** by email.

Please note that **AICAS** respects your privacy and is committed to protecting your private information.

EVIDENCE of COMPLIANCE

A. Basis for Claim of Compliance

- 1) To support you in supplying adequate and acceptable evidence to demonstrate that your product meets the relevant requirements and to ensure a faster process of your application, please note the following.
- 2) A Certificate is issued when electrical products show compliance with the relevant standards and when appropriate evidence is provided that the electrical product is electrically safe as in it will not create an unsafe situation for the installer, user, repairer/maintainer and the installation.

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- 3) In the case of non-declared equipment, evidence showing that it meets the essential safety criteria of AS/NZS 3820 may also be required.
- 4) See the AICAS website or www.saiglobal.com for information on relevant standards.
- 5) Where amendments to the existing standards are published, products shall comply with the published amendment when the Certificate is to be renewed. New product that is not yet manufactured shall comply with the amended standard.
- 6) Where a product has been previously certified by another certification body in Australia or New Zealand, the certificate may be offered as evidence of compliance. However, the evidence as required for a new Application for a certificate must also to be provided.
- 7) When a Standard has been amended, only the changes that impact on your product need to be evaluated.
- 8) To demonstrate that the product complies with the applicable Standard and is electrically safe at the time of application, the appropriate technical documentation must be provided. The following information would form the minimum technical documentation to be supplied with the application form.

B. Test Reports

Certification is based on the following order of application of Standards:

- Australian and New Zealand Standards.
- International Electro Technical Commission (IEC) Standards.
- European Norm (EN) standards or Harmonised Document (HD) based on IEC Standards.
- Any National Standards that show equivalence to IEC Standards.
- Should be to the current version of the relevant Australian standard: if not, see section "C. Additional Information Required" below.
- Must also meet the essential safety criteria of AS/NZS 3820.

An acceptable report is one that shows compliance to a standard or standards as above, and which is

- 1) From a laboratory accredited by a signatory under the International Laboratory Accreditation Cooperation (ILAC) Mutual Recognition Arrangement. These reports must be endorsed/marked with the laboratory's accreditation logo.
- 2) A CB test report issued under the IECEE CB Scheme including TMP, WMT & SMT reports are accepted with CB certificates.

Note: RMT reports are not accepted.

- 3) A GS report with GS certificate (laboratory must have accreditation for the test standard) as administered by the German Federal Ministry of Labour and Social Affairs. Note: This will only be accepted for REAS system applications and not for RECS.

The above reports shall:

- 1) Be a searchable document
- 2) Be valid and issued by laboratories where the scope of accreditation includes the standards listed in the report;
- 3) Have applicable endorsement logos and accreditation numbers as required by the accreditation body; and
- 4) Have authorised approving signatory as per the accreditation.

Note: In certain circumstances reports without the endorsing logo may be accepted, but the approving signatory must be authorised by the respective accreditation body. The laboratory will need to provide evidence of their approving signatories if this information is not readily available. The application processing time will be longer as more detailed checking is required. Reports issued under the IECEE scheme but without CB certificate must not have the IECEE logo. (This paragraph only applies for REAS system applications and not for RECS)

Note: AICAS reserve the right to check with the issuing laboratory regarding the provenance of the test report.

- 5) Should include:
 - a) a full listing of all clauses and sub-clauses and results for each.
 - b) sufficient detailed colour photographs necessary to identify the product which generally would include:
 - complete view of the product (top, side and bottom).
 - nameplate and warning labels on product or indicator marks.

- Close-ups of controls, switches, supply cord entry/cord anchorage/terminal block/earth connection.
 - Close-ups of plug, cord markings and marking on critical components (switches, capacitors, transformers etc).
 - internal overall layout wiring and component locations.
- 6) Should include full technical details including, but not limited to:
- description of the unit(s) including nameplate marking details of the unit(s) under test.
 - if more than one model, details of the differences between the models listed on the test report and which tests were applied to which models.
 - normal temperature and abnormal test conditions and results.
 - leakage current and electric strength test results.
 - details of any specific tests for the product as listed in the relevant standard.
 - detailed component listing of all components (and alternates) that were included in the assessment for the report.
 - Declaration that any supply cord, plug or appliance connector has current appropriate certification or copies of certificates for each or details to enable verification the item/s have current certification.
- 7) resistance to heat and fire results. To include detailed results of all components tested, temperature applied, details if flamed and any consequential test required. If claiming GWFI or GWIT this must have the supporting test information.

C. Additional Information Required

- 1) When a test report is submitted that is not to the current relevant Australian standard, an additional test report or assessment report of variations, amendments and any other relevant information is to be supplied to show how the product.
- 2) complies with the current Australian standard.
- 3) If the report is to the International Standards that the relevant Australian Standards are based on, the Australian variations must be as per those listed in the current version of the applicable Australian standards together with any applicable amendments.
- 4) Where there is no equivalent Australian standard for a non-declared product then other applicable standards as per the details in section B above may be used. This is providing an assessment and/or other test report/s are provided to demonstrate how the product meets the minimum essential safety requirements.
- 5) Where there are non-compliances or clauses not assessed in the report(s) supplied, there should be accompanying information to show how the product may or may not meet those requirements. This information must be accompanied by an explanation, signed by a qualified person, detailing the grounds for acceptance that the product is compliant.
- 6) A model number correlation declaration is required when the test report model numbers differ from those in the Application form. This information is to be clear and concise and be easily traced especially when variables are used in the numbers.
- 7) A draft layout of the label with provision of a space where the certification mark/s will be placed is to be supplied.
- 8) The instructions and documents that will be provided upon sale of the product that specifies the details of safe use by user, for maintenance and installation.

D. Other Information which may be required

Circuit diagrams, components and list of materials where necessary to identify the product.

Specifications of critical components such as transformers and protective devices.

Copies of relevant Certificates for critical components, if different from those listed in the report.

E. WHEN A SAMPLE IS REQUIRED

A sample may be requested if there is a specific requirement such as; but are not limited to:

- If ambiguous or incomplete information has been supplied.
- A safety issue has been identified regarding the product type that requires review.
- Review of the information supplied indicates an issue that needs to be investigated.
- When random product surveillance is being undertaken.

Guide for New Certificate, Transfer, Co-Licence or Modification Application



It is important, therefore, to ensure that good colour photographs and sufficient evidence is provided otherwise a sample may need to be requested which will delay the processing of your application.

Refer to the **AICAS** Terms, Conditions and Obligations for more details of the policy for dealing with samples.

If any additional information be needed to assist in completion this application, please contact our office, details below.

Email Application to: info@aicasau.com

Postal & Courier Address:

AICAS Pty Ltd
17B/15 Suscatand Street
Rocklea QLD 4106
Australia

