



# AUSTRALIA AND NEW ZEALAND CERTIFICATION SYSTEM EXPLOSIVE ATMOSPHERES (ANZEx)

## ANZEx Recognised Service Facility Scheme Rules

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Authority to Issue

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# 1 General

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## 1.1 Introduction

This document provides the scheme requirements for the ANZEx Recognised Service Facility Scheme (ANZEx RSF) which forms part of the overall ANZEx Certification System. The requirements in this document are complementary to the requirements in the ANZEx System Rules. Organisations that wish to be Service Facility Recognisers (SFR) under this ANZEx RSF Scheme must comply with the requirements in the ANZEx Certification System Rules and the requirements in this document.

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

The structure, Scheme participants and corresponding roles and responsibilities and processes described in the ANZEx Certification 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 9001	Quality Management Systems - Requirements
AS/NZS ISO/IEC 17020	Conformity assessment - Requirements for the operation of various types of bodies performing inspection.
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 3800	Electrical equipment for explosive atmospheres - Repair and overhaul
AS/NZS 60079-0 (2019)	Explosive atmospheres Part 0: Equipment - General requirements (IEC 60079-0:2017 (ED. 7.0), MOD)
IAF MD1	IAF Mandatory Document for the Audit and Certification of a Management System Operated by a Multi-Site Organization

## 1.3 Definitions

Unless otherwise specified in this document, the definitions and abbreviations provided in the ANZEx System Rules apply. In addition, the following definition applies:

Site	Location where the majority of the service work is conducted and from which the product conformity and release is controlled.
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## 1.4 Abbreviations

ANZEx AC	Advisory Committee
ANZEx CB	A certification body accepted under an ANZEx Scheme (see the relevant Scheme-specific Rules)
ANZEx FAR	ANZEx Facility Assessment Report
ANZEx RSF	A facility providing overhaul and repair services which is recognised under the ANZEx Recognised Service Facility Scheme (this scheme)
ANZEx SP	Scheme Participant
ANZEx SFR	ANZEx Service Facility Recogniser
ANZEx TL	A testing laboratory accepted under the ANZEx Equipment Scheme
CoC	Certificate of Conformity
CoR	Certificate of Recognition
Ex	Explosion protected
ExCB	An ANZEx CB (see above) or IECEx CB
ExTL	An ANZEx TL (see above) or IECEx TL
ExTR	An Ex test report
IAF MLA	The International Accreditation Forum Multilateral Recognition
IEC	International Electrotechnical Commission
IECEX	A System of the IEC that comprises the following: <ul style="list-style-type: none"> <li>• The IECEx Certified Equipment Scheme</li> <li>• The IECEx Certified Service Facilities Scheme</li> <li>• The IECEx Conformity Mark Licensing System</li> <li>• The IECEx Scheme for the Certification of Personnel Competencies for Explosive Atmospheres (CoPC)</li> </ul>
ILAC	International Laboratory Accreditation Cooperation
JAS-ANZ	Joint Accreditation System of Australia and New Zealand
NATA	National Association of Testing Authorities, Australia
QAR	Quality Assessment Report
QMS	Quality Management System
RSF	Recognised Service Facility

## 2 Structure of the ANZEx Recognised Service Facility Scheme

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### 2.1 Overview

The ANZEx RSF Scheme provides for the recognition of facilities providing overhaul and repair services for Ex equipment using relevant standards. The ANZEx System Owner decides which Standards are covered by the ANZEx RSF Scheme. Standards that may be used in the Scheme are identified in the ANZEx website.

The ANZEx System Owner accepts scheme participants (called Service Facility Recognisers (ANZEx SFR) in this scheme, that are responsible for recognising facilities providing overhaul and repair services to Ex equipment. Facilities providing overhaul and repair services are identified as ANZEx RSF.

Procedures for the management of an ANZEx CoR including application, issue, amendment, changes, and withdrawal of a CoR are set out in Section 3.

Maintenance of recognition shall be through satisfactory performance in periodic surveillance activities. Only an ANZEx RSF shall apply the Identifier to overhauled and repaired product.

### 2.2 ANZEx Recognised Service Facility 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 RSF Scheme and acts as the Scheme Owner. The System Owner has rights and powers as identified in the ANZEx Certification System Rules.

#### 2.2.2 ANZEx Service Facility Recognisers (ANZEx SFR)

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

### 2.3 Applicants and related entities

#### 2.3.1 Applicants

Applicants are defined in the ANZEx Certification System Rules in clause 1.6.14.

A variety of entities may apply for, and hold, an ANZEx CoR. In the ANZEx RSF Scheme, only facilities providing overhaul and repair services for Ex equipment using relevant standards may apply for and hold, an ANZEx CoR. In the case of a multi-site facility, the parent/headquarters may be the applicant.

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

An Applicant within this Scheme carries out or controls such stages in the overhaul and repair of Ex Equipment that qualifies it to accept responsibility for compliance of the overhauled or repaired Ex Equipment with the relevant requirements.

The ANZEx RSF Scheme requires the applicant to describe the processes for production quality, which are assessed by the ANZEx SFR.

For recognition under the ANZEx RSF Scheme a facility shall demonstrate it has the competent personnel, premises, equipment, systems, and competencies to restore Ex equipment to the condition described in the CoC for the Ex-equipment.

## 2.4 Scheme instruments – Certificate of Recognition (CoR)

The ANZEx SFR issues a CoR to an ANZEx RSF that meets the requirements of this ANZEx RSF Scheme. The ANZEx RSF is required to place the marking on overhauled and repaired products in accordance with the CoR and the rules of this Scheme.

A unique CoR shall be issued for each ANZEx RSF site.

Validity of a CoR can be verified on the ANZEx website.

### 2.4.1 Contents of a Certificate of Recognition

A CoR shall contain, as a minimum, the following information:

- CoR number.
- Issue number.
- Applicant's name and address.
- ANZEx RSF name, and street address.
- Standards and respective editions (issues) and amendments, to which the ANZEx RSF has been recognised.
- Relevant protection techniques.
- Group and subgroup as relevant.
- Type of equipment, including limitations where applicable, covered by the CoR.  
Note: Typical equipment type examples include but are not limited to switchgear, motors, control gear, and the like.
- Locations where work is performed.
- ANZEx SFR Mark.
- Name and address of ANZEx SFR.
- Date of issue.
- Any conditions of recognition.
- JAS-ANZ Accreditation Symbol  
Note: Not relevant where NATA is the ANZEx SFRA

### 2.4.2 Establishing Certificate of Recognition (CoR) numbers

The CoR Number provides the means for identifying the Scheme and the issuing ANZEx SFR. A CoR number shall be of the form "ANZEx SF YY.XNNN-ZZ", where:

- YY represents the last two digits of the year of issue.
- X represents the issuing body, with 1 = SAI Global, 2 = Simtars, 5 = NATA, 7 = DNV GL
- NNN represents a unique number determined by the ANZEx SFR.
- ZZ represents the CoR issue number.

### 2.4.3 Identifier

The Identifier is a valid CoR number applied to equipment and related documentation to indicate the status of overhauled and repaired Ex equipment. The Identifier shall be included on:

- Overhaul reports issued by an ANZEx RSF.
- Labels and supporting documents for compliant repaired or overhauled equipment.

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

AS/NZS 3800 includes specific markings to identify the basis for overhaul, whether to Certification documents or to the requirements of the protection technique standard and these are to be followed.

#### 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 Ex certification requirements.
- applying the Identifier to product not identified in an Ex CoC.
- applying the Identifier to product repaired or overhauled at locations other than permitted on the CoR.
- applying the Identifier to product that has been repaired or overhauled when the product is not within the scope of the CoR.
- misuse of the Identifier in supporting materials, such as catalogues, advertising, etc.
- implying that products have been confirmed as complying with certification documents when this is not the case.
- misrepresenting the extent of recognition.
- incomplete certification marking.
- misleading form(s) of the Identifier.
- misleading method of marking.
- incorrect location of marking on a product; and
- application of the Identifier to equipment while subject to suspension, cancellation, or withdrawal.

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

#### 2.4.5 Certificate of Recognition (CoR) status

The status of a CoR issued under the ANZEx RSF Scheme shall be identified on the ANZEx website.

The Status shall be identified as one of the following:

- Current
- Cancelled (refer section 3.5.2 below)
- Suspended (refer section 3.5.2 below)
- Withdrawn (refer section 3.5.1 below)

### 2.5 Scheme instruments – Facility Assessment Report (FAR)

ANZEx FARs are issued by an ANZEx SFR to record the basis of compliance to the relevant standards and scheme rules.

#### 2.5.1 Contents of a Facility Assessment Report

A FAR shall contain, as a minimum, the following information:

- a) ANZEx SFR uniquely assigned Project/Job Number.
- b) Facility Assessment Report number.
- c) Facility Assessment Report Issue number.
- d) Recognised Service Facility.
  - i) Full name, including trading name (if applicable)
  - ii) Full street address
- e) All Sites audited.
  - i) Full name, including trading name (if applicable)
  - ii) Full street address
- f) Management representative(s), names.
- g) Number of Employees.
  - i) Total number of employees on site
  - ii) Total number involved in Ex repair, pre-overhaul and overhaul activities.
- h) Compliance standard(s) including year.
- i) Audit type.

- i) Initial Assessment
  - ii) Surveillance Assessment
  - iii) Re-assessment
  - iv) Special
- j) Types of protection.
- k) Audit scope.
- l) Certificate of Recognition No.
- m) Summary.
  - i) Type of product assessed during the audit.
  - ii) Summary of audit observations
  - iii) Nonconformities
- n) Audit Team Leader Recommendations.
  - i) Example recommendations:
    - FAR issued, indicating compliance with ANZEx Scheme requirements, recommending that ANZEx Service Facility Recognition be issued/maintained\*
    - The FAR is issued with minor non-conformance(s), indicating general compliance with ANZEx Scheme requirements. An ANZEx Service Facility Recognition may be maintained following receipt of satisfactory documentary evidence supporting effective corrective action(s). All corrective action(s) are to be verified at next surveillance visit.
    - The FAR is issued, due to significant non-conformance(s) being raised indicating non-compliance with ANZEx Scheme requirements. The Service Facility cannot claim to be covered by the ANZEx Recognition until a follow up visit is conducted to verify that corrective actions have been effectively documented and implemented.
    - FAR issued, indicating non-compliance with ANZEx Scheme requirements, due to significant non-conformance(s) being raised, recommending that ANZEx Service Facility Recognition be SUSPENDED. Services cannot be claimed as being covered by ANZEx Recognition until a follow up visit is conducted.
    - FAR issued, indicating non-compliance with ANZEx Scheme requirements, due to non-renewal or withdrawal from recognition or significant non-conformance(s) being raised (strike out as appropriate)\*, recommending that ANZEx Service Facility Recognition be WITHDRAWN.
- o) Audit Data.
  - i) Summary of quality management
  - ii) Summary of the extent of subcontracted work
  - iii) Composition of audit team
  - iv) Interviewed representatives of the Service Facility (auditees)
  - v) Responsible Persons
  - vi) Manufacturer's documentation
- p) Assessor's Report.
  - i) Assessment to AS/NZS 3800
  - ii) Assessment to AS/NZS 2290.1 (if required)

### 2.5.2 Establishing Facility Assessment Report (FAR) numbers

The FAR Number shall be of the form NNN/ZZ as defined by each of the ANZEx SFR's with the issue number controlled, where:

- NNN represents a unique number determined by the issuing body.
- ZZ represents the FAR issue number



## 2.6 Managing changes to standard and legacy equipment

### 2.6.1 General rules for handling of changes to standards

If a new edition of an overhaul standard has been issued, the System Owner, in consultation with the ANZEx AC, shall issue a Direction (ANZEx Certification System Rules clause 3.4.4) advising all ANZEx SFRs in writing of the transition period. This would normally be two years. After the transition period, an ANZEx SFR shall not accept applications against the superseded standard.

During the transition period an applicant for recognition may choose either standard as the basis for recognition. An ANZEx RSF may continue to operate under the superseded standard until recognition to the new Standard is provided to a maximum of one year after the transition period has expired.

### 2.6.2 General rules for handling AUSEx certified equipment

Equipment certified using the AUSEx Equipment Scheme and submitted for repair / overhaul may be repaired or overhauled to the AUSEx Certified documentation. Where changes are requested that are not described in the AUSEx Certified documentation, the equipment must be re-certified using editions of standards accepted under the Rules of the ANZEx Certified Equipment Scheme.

### 2.6.3 General rules for handling transition to other referenced documents

Systems and fundamental standards are released using an introduction date / transition period and sunset date for the superseded edition and this shall be observed by the Scheme participants.

### 2.6.4 Transition of Scheme ownership to JAS-ANZ

One consequence of the changes to Scheme ownership in 2016, was 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 are to be provided in the new format as the need for re-vision or re-issue of the documents occurs.

## 2.7 System actions – disciplinary actions

The ANZEx Certification System Rules permit an ANZEx SFR to direct Applicants or ANZEx RSF to take actions to comply with the requirements of the ANZEx Certification System Rules, these Scheme Rules, or the ANZEx SFR's rules and procedures.

## 2.8 Other matters

### 2.8.1 Fees

ANZEx SFRs are free to set their own fees for service.

ANZEx System Owner or contracted administrative providers may set fees for administration of the Scheme that will form a component of the fee payable.

The issue of an ANZEx CoR may be subject to the payment of all outstanding fees or costs.

## 3 Performance expectations

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### 3.1 General

Recognition under the ANZEx RSF Scheme is based on a set of procedures covering:

- acceptable quality documentation that provides confidence in the consistent provision of the services to be recognised, and
- Application for recognition, and
- Initial and on-going audit assessment of the service facility that provides confidence in the overhaul and repair processes, verification processes and conformity of overhaul or repaired product, as relevant.

### 3.2 Performance expectations

Processes and practices described in nominated overhaul and repair standards, and that overhauled and repaired equipment has been restored to the condition described in those standards or in nominated Ex Certification documents.

### 3.3 Obtaining recognition

#### 3.3.1 Application

Applications for a CoR may be submitted to a relevant ANZEx SFR. Each site shall have its own CoR.

#### 3.3.2 Supporting documentation

The ANZEx SFR may require supporting documentation (such as service procedures, process records and reports) to be provided by the applicant prior to the on-site audit.

#### 3.3.3 Assessment

An on-site audit of the systems and associated quality plan(s) relevant to the overhaul and repair of the Ex-equipment identified in the requested scope of recognition, for compliance with ISO 9001 is required. This shall be conducted by the ANZEx SFR that issued the CoR.

Where a site sampling protocol is used by an ANZEx SFR in support of (for example) a certification to ISO 9001 (e.g., as described in IAF MD1:2018), repair and overhaul workshops are to be considered as:

- a discrete population within the range of sites and
- of a higher risk level than that allocated to general engineering

The ANZEx SFR shall review the sufficiency of any materials provided by the applicant when deciding the extent of assessment needed.

During the on-site audit, the assessment shall consider the service facility premises to confirm implementation of the QMS and associated quality plan(s).

Any assessment team shall include at least one technical expert/specialist, in the relevant equipment and Ex protection technique(s) applied. An assessment team of one person is possible where the lead assessor also has appropriate technical expertise.

Note: Competency standards may be used to inform the determination of the suitability of specialists.

Assessment shall be conducted in accordance with these Scheme Rules.

### 3.3.4 Post assessment

Following assessment, an ANZEx Facility Assessment Report (see [2.5](#)) shall be issued upon closure of any non-conformities by the ANZEx SFR.

### 3.3.5 Resolution of findings and issuance of Certificate of Recognition (CoR)

CoRs can only be issued by the ANZEx SFR after the evaluation of evidence. All matters shall be addressed as required by the ANZEx SFR before a CoR can be issued.

## 3.4 Recognition maintenance

### 3.4.1 Performance expectation

Maintaining recognition is dependent upon the relevant ANZEx SFR being satisfied that the ANZEx RSF continues to:

- comply with the ANZEx Certification System Rules.
- comply with the ANZEx RSF Scheme Rules.
- operate in accordance with ISO 9001.
- maintain the relevant service procedures for products listed in the CoR for the duration of recognition.
- implement the relevant service procedures so as to ensure the continued compliance of overhauled and repaired products listed in the CoR.

### 3.4.2 Non-conformity notification

An Applicant or ANZEx RSF shall notify the relevant ANZEx SFR immediately of any substantial issue which implies non-conformity of the overhauled and repaired product to the overhaul and repair Standard(s) and/or relevant certification documentation or which reflects a deficiency of its relevant service procedures and/or service capability.

Where a breach of the Performance expectation (see [3.4.1](#)) has been substantiated, the Applicant / ANZEx RSF shall undertake the following actions:

- Products in stock or in process shall have the Identifier removed, or other appropriate disposition such as recall, rework, destruction, replacement, to ensure compliance with the performance expectation.
- Products already despatched shall have the Identifier removed or shall be recalled and/or reworked to ensure compliance with the performance expectation.
- There shall be notification to clients and, if required, a public disclosure as determined by the ANZEx SFR or applicable regulatory body(s).

### 3.4.3 Periodic surveillance and re-assessment intervals

Recognition shall be maintained through ongoing onsite surveillance and re-assessment audits covering the above requirements (see [3.4.1](#)).

Re-assessment audits shall be conducted at least every three years.

The frequency and scope of onsite surveillance visits shall be determined by the ANZEx SFR based upon:

- whether the ANZEx RSF holds quality management system (QMS) certification to ISO 9001 or equivalent.
- the outcomes of previous assessment visits.

In addition to an initial assessment prior to recognition:

- ANZEx RSFs shall have ongoing surveillance audits with a maximum interval of up to 12 months between visits as scheduled by the ANZEx SFR.

- As an exception, the period between assessments may be extended to 18 months by the ANZEx SFR, provided all of the following apply:
  - the service facility is also a Manufacturer under the ANZEx or IECEx Certified Equipment Scheme,
  - the facility will ONLY repair certified products that they have manufactured,
  - a valid QAR is maintained,
  - the repair process and manufacturing process are under the same management structure and same Quality Management System,
  - the service facility certificate scope states that they are only able to repair equipment that they have manufactured under an ANZEx or IECEx Certificate of Conformity that is supported by a valid and current QAR,
  - the equipment is released in accordance with the requirements of AS/NZS 3800 for marking with the “R in square” repair mark, indicating that the equipment has been repaired to the original certification documentation.

Where a site sampling protocol is used by an ANZEx SFR in support of (for example) a certification to ISO 9001 (e.g., as described in IAF MD1:2018), repair and overhaul workshops are to be considered as:

- a discrete population within the range of sites, and
- of a higher risk level than that allocated to general engineering.

An ANZEx SFR has the right to conduct any additional surveillance assessments should they deem it necessary due to product and/or system deficiencies on the part of the service facility. Such additional audits may include audits of sub-contracted manufacturing or services.

Any non-conformities identified during surveillance activities shall be handled as disciplinary actions as detailed in the ANZEx Certification System Rules.

#### 3.4.4 Amendments to a Certificate of Recognition

At the request of the Applicant of a CoR, a CoR may be changed or amended. Amendments to a CoR may arise to cover the following:

- a major alteration to facilities.
- an extension to the scope of recognition in relation to the protection techniques.
- an extension to the type of equipment being overhauled, repaired or modified.
- a change in ownership of the Ex service facilities.
- a change in name of the CoR holder.
- a change of location of the Ex service facilities.
- changes / reductions to the intended work to be performed by the facility.

An application for an amendment to a CoR shall be submitted to the relevant ANZEx SFR. The ANZEx SFR shall treat the application in accordance with its rules and procedures. The ANZEx SFR shall establish the nature and extent of any assessment required and shall satisfactorily complete any such assessment before making the amendment to the CoR.

An amendment to a CoR may be considered administrative (e.g., change in facility name) or technical (relocation of facility, change in scope). Technical changes will require an audit, whereas an administrative change may not.

Note: Depending upon the changes identified, the nature and extent of assessment will vary and can include a site visit or document review or other checks.

### 3.4.5 Relinquishment (cancellation of recognition)

An applicant or ANZEx RSF may relinquish an ANZEx CoR at any time by advice in writing to the relevant ANZEx SFR. On notification from the ANZEx SFR the status of the ANZEx CoR shall be updated on the ANZEx database. Voluntary relinquishment puts an ANZEx RSF into a status identical with Cancellation.

## 3.5 Other status changes

### 3.5.1 Withdrawal

Withdrawal of an ANZEx CoR conveys the message that all previous work performed by the ANZEx RSF is no longer regarded as covered by recognition.

An ANZEx RSF subject to a withdrawn CoR shall inform their customers and interested parties of the situation. One acceptable means of notification is by placing a notice in the newspapers of all capital cities where the Ex-product is likely to be used.

Note: In most instances cancellation of a part of a CoR, or from a nominated (past) date may provide a more proportionate response to the circumstances.

### 3.5.2 Suspension and cancellation

Suspension of an ANZEx CoR conveys the message that services provided as listed on the suspended elements of a CoR are regarded as temporarily not covered by that recognition.

Note: Suspension does not normally invalidate the certification of work associated with any previous repair or overhaul activities performed by the ANZEx RSF but if it did it would be listed in the written notification provided to the ANZEx SFR (see [last paragraph of this clause 3.5.2](#)).

Cancellation of an ANZEx CoR (or part of an ANZEx CoR) conveys the message that services provided as listed on the cancelled CoR are not covered by recognition after a nominated date. It has no effect on services provided prior to the cancellation date. The date that an ANZEx CoR was cancelled or suspended is recorded on the ANZEx website.

A cancelled CoR cannot be reinstated and an application for a new CoR is required.

Note: Suspension and cancellation of recognition is defined in the ANZEx Certification System Rules. Conditions under which a CoR can be suspended or cancelled, include the following:

- An ANZEx RSF may elect to temporarily suspend recognition voluntarily (e.g., during location change, period of no Ex work, etc.) Such suspensions would usually be for a maximum period of approximately 12 months and be followed by reassessment by the ANZEx SFR for reinstatement of the CoR.
- Breach of the rules and procedures of the ANZEx RSF Scheme.
- Major non-conformities identified during audits could lead to CoR suspension or cancellation.
- Breach of any conditions of recognition included in the CoR.
- Failure to pay any fees, costs or charges payable under the agreement with the ANZEx SFR.
- The ANZEx RSF becomes bankrupt, applies to take the benefit of any law for the relief of bankrupt or insolvent debtors or makes any arrangement or composition with its creditors or if a company enters into liquidation (whether compulsory or voluntary, but not including voluntary liquidation for the purpose of reconstruction) or has a receiver appointed to its business.

Where a CoR is suspended or cancelled, other than for voluntary cancellation, the ANZEx RSF shall be notified in writing by the ANZEx SFR of the grounds for doing so and the scope of the suspension/cancellation. The ANZEx RSF has the right to appeal the certificate suspension or cancellation and the certification appeal process of the ANZEx SFR will then apply.

For a voluntary suspension or cancellation, the ANZEx SFR shall confirm the details of the suspension/cancellation with the ANZEx RSF in writing.

### 3.5.3 Disciplinary reduction in scope

Clause 3.4.4 addresses the situation where the ANZEx RSF requests a change or amendment to the CoR. A reduction in scope is the action taken by the ANZEx SFR in response to changes that adversely affect the scope of recognition. The reduction in scope could be taken as a disciplinary action or as a result of loss of capability or a reduction in experience or technical capability.

### 3.5.4 Revocation of suspension

When the ANZEx SFR is satisfied that all effective corrective measures have been implemented, including onsite reassessment, the ANZEx SFR will notify the ANZEx RSF in writing of the lifting of suspension, including notification to the ANZEx System owner and Administering Body.

### 3.5.5 Closure of an ANZEx scheme participant

Should an ANZEx SFR cease operations, the Rules relating to the Closure of an ANZEx Scheme participant detailed in the ANZEx Certification System Rules shall apply and, in addition, the following matters shall be addressed:

- Unless there is evidence invalidating previously issued CoRs, these previously issued CoRs for the ANZEx RSF remain valid.
- The Applicant in the ANZEx RSF Scheme can continue overhaul and repair of equipment until their next scheduled ANZEx RSF audit. At that point, the operations must be covered by an ANZEx CoR from another ANZEx SFR.

## 3.6 Industry-specific provisions

### 3.6.1 Work performed away from nominated ANZEx RSF address (temporary workshops)

An ANZEx RSF operating at sites remote from the nominated ANZEx RSF address shall have in place procedures describing mobilisation to, and demobilisation from, that remote site.

Particular attention shall be paid to:

- Workplace familiarisation.
- Management of competence including having a responsible person on site.
- Sourcing and training of supplementary labour.
- Identification of subcontractors.
- Clear specification and oversight of subcontracted work.
- Management of transit-affected elements, such as critical components, consumables and measuring equipment.
- Clear description of work done and locations.
- Access to procedures and documentation.
- Management of records.

Procedures for conducting work at sites remote from the nominated ANZEx RSF address shall be controlled within the QMS. The capability to conduct work at sites remote from the nominated ANZEx RSF address shall be identified in the CoR, appropriately audited, and identified in the FAR.

### 3.6.2 Mobile facilities (vans)

An ANZEx RSF may operate from mobile work locations and shall have in place procedures describing mobilisation to, and demobilisation from, that remote site.

Particular attention shall be paid to:

- Workplace familiarisation.
- Management of transit-affected elements, such as critical components, consumables and measuring equipment.
- Clear description of work done and locations.
- Access to procedures and documentation.
- Management of records.

Procedures for conducting from mobile facilities shall be controlled within the QMS. The capability to conduct work from mobile facilities shall be identified in the CoR, appropriately audited, and identified in the FAR.

### 3.6.3 Handling of non-ANZEx and legacy equipment

Unless varied by a Direction or client request, certified equipment shall be overhauled and repaired to the condition described in the relevant CoC. Where the relevant standard permits overhaul and repair to nominated standards (e.g., AS/NZS 3800 for some Group II and III applications) such overhauls and repairs are permitted under the Rules of this ANZEx RSF Scheme.

### 3.6.4 Upgrading equipment to newer Certificates of Conformity (CoC)

Under some condition's manufacturers may permit a third-party (user or service facility) to effect changes so that equipment can be made compliant with a CoC that has been released after the equipment in question was manufactured. Such changes shall be agreed by client and the ANZEx RSF and clearly recorded in the supporting documentation.

### 3.6.5 Management of legacy equipment

Where changes affecting the Ex properties of equipment are required and the Applicant no longer exists or cannot be located or identified, the equipment owner/operator seeking certification over such repairs may self-nominate as an agent for the purpose of unit verification.

## 4 Operational Requirements

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ANZEx SFRs shall apply the requirements detailed below:

An ANZEx RSF shall comply with 4.1 to 4.9 below:

Notes:

- ANZEx RSFs demonstrate that they have the capability to meet these requirements initially and during ongoing surveillance.
- An ANZEx RSF may have restrictions on the type of equipment that is included in their scope.
- An ANZEx RSF may have the capacity to undertake work at remote locations (e.g., on mine sites, in mines or at operational or manufacturing plants), provided management, quality, documentation and competency systems are designed and audited/assessed to demonstrate that capacity.
- While the ANZEx Certification System Equipment Scheme allows for the acceptance of operations of ISO/IEC 60079-34 as an alternative form of recognition, this Standard is written specifically for manufacturers and does not address specific issues relevant to service facilities. It cannot be assumed that a ANZEx RSF associated with a manufacturer has been considered in the course of a certification assessment of the manufacturer's operations.



#### 4.1 Industry-specific provisions

An ANZEx RSF shall have a Quality Management System (QMS) which meets the requirements of ISO 9001. The ANZEx RSF's documentation shall demonstrate that all applicable requirements of ISO 9001 have been effectively audited.

The QMS must be to the current version of ISO 9001 or within the transition period for revisions to the standard.

#### 4.2 Measuring instruments

An ANZEx RSF shall have available equipment to measure all dimensions and quantities necessary to determine Ex compliance. Equipment shall have a measurement capability sufficient to discriminate between compliant and non-compliant measurements.

An ANZEx RSF shall:

- identify all the measuring instruments used to establish explosion-protected properties.
- establish that measuring instruments are suitable for the work undertaken.
- maintain an appropriate measurement capability through a system of ongoing equipment assurance, including, where appropriate, periodic calibration and verification.
- where appropriate, have measuring instruments calibrated periodically by a laboratory accredited for the instrument being calibrated.
- have a documented procedure for equipment assurance including where appropriate, procedures and acceptance criteria for calibration and verification of measuring instruments.
- review calibration certificates to establish fitness for purpose.
- apply correction requirements to the working instruments used, where such corrections are:
  - indicated in the calibration certificates; and
  - relevant to the measurement
- annually review the performance of calibration providers, with the review including confirmation that any accreditation remains current and valid.

#### 4.3 Work processes

An ANZEx RSF shall establish procedures or work instructions for the work performed on Ex equipment. These procedures or work instructions shall incorporate each process relevant to the work performed, including, as appropriate:

- Nominate key input stages.
- Inspection of incoming components and equipment.
- Identification and acquisition of necessary documentation.
- All relevant work steps, including, inspection, assessment, measurement, testing, disassembly, reassembly, final inspection, and reporting, as relevant.
- identification of processes used and human, material, equipment, and test / inspection resources required.
- Recall of equipment after despatch should the ANZEx RSF become aware of any critical or major defect after the equipment has been released.
- Details and evidence of competency for persons nominated as Responsible Persons.

#### 4.4 Quality Management System – Management of work done by third parties

In order to fulfil the objectives of this scheme, where an ANZEx RSF relies upon work performed by third parties the ANZEx RSF shall either:

- be able to fully verify the compliance of the component on return to the ANZEx RSF; or
- use the services of a suitably competent ANZEx RSF recognised by this scheme or an alternate acceptable scheme.



Any work (including process, testing and calibration activities) carried out by third parties shall be supervised to an appropriate degree. The level of supervision shall depend on the Ex-criticality, type of work, accreditations held by the contractor and the ability to do a thorough inspection of the completed work.

#### 4.5 Personnel competencies

An ANZEx RSF shall have at least one person with relevant competencies. Scheme-specific competence requirements may also apply.

An ANZEx CoR remains valid only while the ANZEx RSF has suitably competent personnel.

A Responsible person(s) shall be directly associated with, and be responsible for, the assessment of the relevant Ex equipment and be actively involved in repair and overhaul duties. The Responsible Person's roles and responsibilities shall be clearly documented. Key tasks of the Responsible Person shall be:

- the signing of a Statement of Repair/Overhaul; and
- the verification/evaluation of the results of repairs and overhauls of the Ex-equipment.

The Responsible Person shall possess a recognised competency or qualification related to work undertaken and the type of Ex equipment.

The ANZEx RSF shall have available all competencies necessary to perform the intended scope of work.

A training and competence program shall be established by the ANZEx RSF for all persons involved in handling Ex equipment.

#### 4.6 Effective supervision

An ANZEx RSF shall operate in such a way that all work performed on Ex equipment is conducted under effective supervision of appropriately competent personnel.

#### 4.7 ANZEx RSF workshop reports

For each item of equipment overhauled/repaired. The ANZEx RSF shall prepare a report which shall include:

- a title, e.g., Inspection Report.
- identification of the issuing body.
- unique identification of the report on each page.
- indication of the total number of pages, each page being numbered for multi-page reports.
- client identification.
- identification of the work ordered by the client.
- date(s) the work was conducted.
- location the work was conducted.
- procedure or method used, or a statement of the work performed, including mention of deviations, additions, or exclusions from agreed methods and procedures.
- reference to the use of subcontractors, including identification of the work performed.
- identification of the item(s), specific components, or material inspected.
- identification item(s) subjected to more rigorous inspection (e.g., for example, NDT).
- type and serial numbers of measuring devices used.
- overhaul results including reference to specifications.
- defects or other non-conformities identified.
- a declaration of conformity, if appropriate.
- if the work was not carried out in full as detailed in the original contract/work order, clear information on what has been omitted.
- name and signature (or electronic equivalent) of the Responsible Person in charge of the inspection.

- date of issue of the report; and

In addition, where relevant, workshop reports shall include:

- details of any sampling including:
  - methods used; and
  - where, when, how and, by whom sampling was performed.
- environmental conditions during the inspection.
- caveats and assumptions made by the ANZEx RSF and the basis for these.
- subcontractor's reports and how these were used; and
- any other information specified by the client.