



# IECEX PUBLICATION

**IEC System for Certification to Standards Relating to Equipment for Use in Explosive Atmospheres (IECEX System)**

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**IECEX Certified service facilities scheme –  
Part 4: Ex inspection and maintenance – Rules of Procedure**



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**IECEX 03-4**

Edition 4.0 2023-10

# **IECEX PUBLICATION**

**IEC System for Certification to Standards Relating to Equipment for Use in Explosive Atmospheres (IECEX System)**

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**IECEX Certified service facilities scheme –  
Part 4: Ex inspection and maintenance – Rules of Procedure**

INTERNATIONAL  
ELECTROTECHNICAL  
COMMISSION

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## INTERNATIONAL ELECTROTECHNICAL COMMISSION

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### IECEX Certified service facilities scheme – Part 4: Ex inspection and maintenance – Rules of Procedure

#### FOREWORD

The IECEX management committee (ExMC) has prepared this publication with the assistance of the IECEX Certified services facilities committee (ExSFC).

This publication is directly related to publication IECEX 03-0 that complements the IECEX Basic Rules (comprising IEC CA 01 and the IECEX Supplement IECEX 01-S).

This edition of IECEX 03-4 takes effect immediately upon publication.

#### Document history

Date	Summary
2013-03	This original issue Edition 1 was based on ExMC/819A/RM and ExMC/746/INF.
2017-10	This Edition 2.0 was approved for publication by the 2017 ExMC meeting via Decision 2017/53 in ExMC/1298/DL and supersedes Edition 1.0 of IECEX 03-4 upon publication
2021-10	This Edition 3.0 was prepared to improve the clarity of requirements in Clause 10.1.1 and to add Annex B. Changes also include editorial improvements to text and formatting. This edition was approved for publication by the IECEX EMC as recorded as ExMC Decision 2021/29
2023-10	Edition 4.0 Revisions to Clauses 9.11 and 9.12 following 2023 ExSFC meeting decisions and ExMC Decision 2023/29

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## INTRODUCTION

The IECEx is a single global certification framework based on the IEC International Standards. It caters for countries whose national standards are either identical to those of the IEC or else very close to IEC International Standards.

The IECEx is truly global in concept and practice, reduces trade barriers caused by different conformity assessment criteria in various countries, and helps industry to open up new markets.

The goal is to help manufacturers reduce costs and time while developing and maintaining uniform product evaluation to protect users against products that are not in line with the required level of safety.

The aim of the IECEx System and its schemes is to ease international trade of explosion protected equipment (termed Ex equipment) by eliminating the need for duplication of testing and certification, while preserving safety. IECEx operates as an international certification system covering products and services associated with the Ex industries and plants.

IECEX schemes also aim the true view and approach of assure safety in hazardous areas during the whole life-cycle of Ex plants, which requires proper auditing, hazardous area classification, design, installation, inspection, maintenance and repair of explosion protected equipment.

The certification of the required competence of personnel engaged in tasks in hazardous areas is covered by the Certification of personnel competence scheme (IECEX 05).

### **Where do we commonly find Ex equipment, Ex installations and hazardous area?**

Flammable gases, vapours and combustible dusts create potentially explosive atmospheres. Ex equipment and installations in such hazardous areas include:

- Automotive refuelling stations or petrol stations
- Oil refineries, rigs and processing plants
- Oil and gas tankers, drilling ships and floating production storage offloading (FPSO) vessels
- Chemical and petrochemical processing plants
- Printing industries, paper and textiles
- Hospital operating theatres
- Aircraft refuelling and hangars
- Surface coating industries
- Underground coal mines
- Sewerage treatment plants
- Gas pipelines and distribution centres
- Grain handling and storage and processing (flour-milling industry and grain silos)
- Woodworking areas
- Sugar and ethanol refineries
- Light metal working, where metal dust and fine particles can appear

## **IECEX Certified service facilities scheme – Part 4: Ex inspection and maintenance**

While certification of new Ex equipment is covered by the IECEX Certified equipment scheme, as detailed in IECEX 02, the IECEX Certified service facilities scheme provides a single international scheme for the assessment and certification of Ex related service facilities that have an impact on the ongoing compliance of Ex equipment and Ex installations with Ex safety standards.

Manufacturers producing new Ex equipment in accordance with their Ex equipment certification regime cannot be held responsible for any actions or inactions during inspection and maintenance, required during the whole life cycle of Ex installations.

The IECEX Certified service facilities scheme supports a level of confidence among Ex equipment and Ex installations users, regulators, and the community that Ex safety is maintained when Ex equipment and installations are inspected and maintained by an IECEX certified service facility in accordance with this scheme.

Ex service facilities that achieve IECEX certification are required to demonstrate compliance with stringent IECEX requirements including:

- Operational procedures and Ex inspection and maintenance techniques or methods meet IECEX technical requirements encompassing IEC 60079-17 and IEC 60079-14,
- Possess and maintain in operating condition necessary facilities and equipment including test equipment and traceability of measurements,
- IECEX quality management system (QMS) requirements, based on ISO 9001,
- Competent responsible persons and operatives with current competence related to Ex equipment and Ex inspection and maintenance standards or certification requirements, encompassing IEC 60079-17 and Units of competence Ex 004 (Maintain equipment in explosive atmospheres), Ex 007 (Perform visual and close inspection of electrical installations in or associated with explosive atmospheres) and Ex 008 (Perform detailed inspection of electrical installations in or associated with explosive atmospheres) set forth in IECEX OD 504 (Specification for units of competence assessment outcomes),
- Others necessary for proper Ex inspection and maintenance.

### **More information**

Further information is available from the IECEX website: [www.iecex.com](http://www.iecex.com) (containing free copies of the IECEX Rules of Procedure), from any of the IECEX certification bodies or directly from the IECEX Secretariat via the coordinates shown on the IECEX website.

## **IECEX Certified service facilities scheme – Part 4: Ex inspection and maintenance – Rules of Procedure**

### **1 Scope**

This publication is directly related to IECEx 03-0 that complements the IECEx Basic Rules (comprising IEC CA 01 and the IECEx Supplement IECEx 01-S).

This document IECEx 03-4 supplements the general requirements contained in IECEx 03-0 by defining the Rules of Procedure of the IECEx Certified service facilities scheme covering inspection and maintenance of Ex equipment. These rules are further supplemented by the IECEx scheme's operational documents.

NOTE Rules covering the IECEx Certified equipment scheme and the IECEx Certification of personnel competence scheme are given in publications IECEx 02 and IECEx 05 respectively.

### **2 Normative references**

The following referenced documents are required for the application of these rules. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

NOTE Although this document references IEC 60079-14 and IEC 60079-17, it is also relevant in determining ability to work with other international, national or regional requirements of a similar nature, such as IEC 61892-7, *Mobile and fixed offshore units – electrical installations – Part 7: Hazardous areas*.

IECEX Basic Rules (IEC CA 01 + IECEx 01-S), *IEC Harmonized Basic Rules (IEC CA 01) plus the IECEx Supplement (IECEX 01-S)*

*IECEX 03-0, IECEx Certified Service Facilities Scheme Part 0: General Rules of Procedure*

*IECEX OD 504, IECEx Scheme for Certification of Personnel Competencies for Explosive Atmospheres – Specification for units of competence assessment outcomes*

*IEC 60079-14, Explosive atmospheres – Part 14: Electrical installations design, selection and erection*

*IEC 60079-17, Explosive atmospheres – Part 17: Electrical installations inspection and maintenance*

*ISO/IEC Guide 2, Standardization and related activities – General vocabulary*

*ISO/IEC 17000, Conformity assessment – Vocabulary and general principles*

*ISO/IEC 17020, Conformity assessment - Requirements for the operation of various types of bodies performing inspection*

*ISO/IEC 17021-1, Conformity assessment – Requirements for bodies providing audit and certification of management systems*

*ISO/IEC 17065, Conformity assessment – Requirements for bodies certifying products, processes and services*

*ISO 9001, Quality management systems – Requirements*

### 3 Definitions

ISO/IEC Guide 2 and ISO/IEC 17000 give the basic definitions.

For the purposes of the IECEX Certified service facilities scheme – Part 4, the definitions contained in IECEX 02, IECEX 03 and the following also apply:

#### 3.1

##### **Ex certification body (ExCB) within the ExSFC scheme**

a body which has been accepted according to these rules and which issues IECEX service facility certificates and IECEX facility audit reports

#### 3.2

##### **IECEX Certified service facilities scheme – Part 4**

the IECEX scheme for the certification of service facilities who conduct inspection and maintenance of Ex equipment and their installations and environments within or associated with an explosive atmosphere. This Part 4 may also be referred to as the “IECEX 03-4 scheme”

#### 3.3

##### **IECEX service facility certificate**

a document issued under these rules indicating that adequate confidence is provided that a duly identified service facility has been found to operate procedures that provide confidence that the work undertaken complies with IECEX requirements and is under the surveillance of an IECEX certification body (ExCB)

#### 3.4

##### **IECEX facilities audit report (FAR)**

a document that presents the results of an on-site assessment of a service facility's quality control system, equipment, operating procedures and competence of their staff, by an ExCB, to the requirements of the IECEX Certified service facility scheme

#### 3.5

##### **Applicant**

an organization who applies to an ExCB for an IECEX service facility certificate for Ex inspection and maintenance

#### 3.6

##### **Service facility**

an organization that carries out or controls such stages in Ex inspection and maintenance of Ex equipment and installations, as required in IEC 60079-14 and IEC 60079-17

### 4 Governance of the IECEX Certified service facilities scheme

The Ex management committee (ExMC), whose responsibilities in this respect are defined in the IECEX Basic Rules shall govern this IECEX Certified service facilities scheme (referred to throughout this document as “scheme”).

This document IECEX 03-4 supports IECEX 03-0 in defining the rules and procedures of the IECEX Certified service facilities scheme covering Ex inspection and maintenance. These general rules are supplemented by the IECEX scheme's operational documents.

The IECEX Executive Secretary shall be responsible for the issuing and maintenance of operational documents which generally fall under the following categories:

- a) Document containing explanatory guidance (for example IECEX 03A)
- b) Operational document containing rules and procedures that supplement those contained in this document

The ExMC shall be kept informed on the currency of operational documents with ExMC agreement required for operational documents that fall under category b) above.

## **5 Principles of the IECEx Certified service facilities scheme for Ex inspection and maintenance**

### **5.1 IECEx service facility certificate**

The IECEx Certified service facilities scheme provides the means for service facilities to obtain an IECEx certificate that is intended to provide the international Ex community with confidence that such service facilities undertake the work in accordance with the technical and quality system requirements of the IECEx Certified service facilities scheme for Ex inspection and maintenance.

The aim of this IECEx Certified service facilities scheme is to ensure that Ex inspection and maintenance service facilities comply with the following:

- Possess and maintain (under calibration control system) the necessary test and measuring equipment (including specialized equipment) used in conducting inspection and maintenance of Ex equipment and Ex installations,
- Have established and implemented relevant quality management system procedures,
- Possess as a minimum one person determined as responsible person, according to IEC 60079-14 and IEC 60079-17, competent in the Ex inspection and/or maintenance field as relevant by the ExCB via the IECEx CoPC scheme or equivalent,
- Have controls and procedures for safe access to the equipment being inspected or maintained in accordance with the site operator's requirements and minimum occupational health and safety requirements.

IEC 60079-14 and IEC 60079-17 and IECEx Certified service facilities scheme's quality management system (QMS) requirements, based on the relevant requirements of ISO 9001 with additional requirements specific to inspection and maintenance of Ex equipment and installations, form the basis of the IECEx Certified service facilities scheme for inspection and maintenance requirements.

The IECEx service facility certificate for inspection and maintenance should be issued for the relevant scope of activity covered by IEC 60079-14 and IEC 60079-17 but may be issued for a specific activity that is clearly defined on the certificate as either:

- initial inspection
- periodic inspection
- maintenance

that may be further restricted by scope limitations in terms of group, voltage, or protection technique.

Ex service facilities that have attained and maintain IECEx certification may affix the IECEx logo to IECEx inspection and maintenance reports providing that there is no misrepresentation of the scope of certification. Guidance on this is provided in the IECEx operational documents that support this document, for example, IECEx Guide IECEx 01B.

### **5.2 Method of application**

An ExCB approved by the ExMC in accordance with these rules and associated IECEx operational documents may issue an IECEx service facility certificate to inspection and maintenance service facilities.

Applications from organizations seeking acceptance as an ExCB for the purpose of issuing IECEX service facility certificates can be accepted from bodies that reside in an IECEX participating member country. The application is made to the IECEX Secretariat.

Refer to IECEX Basic Rules regarding country membership of the IECEX.

### **5.3 Acceptance**

Certification bodies are accepted into the IECEX Certified service facilities scheme for inspection and maintenance following satisfactory assessment of their capability by assessors appointed by the ExMC.

The certification body's capability is assessed in accordance with the requirements of ISO/IEC 17065, ISO/IEC 17020 and IECEX scheme requirements.

### **5.4 Permissions**

Only ExCBs that have been accepted for the purpose of issuing IECEX service facility certificates and reside in an IECEX participating member country are permitted to issue IECEX service facility certificates for inspection and maintenance.

### **5.5 Editions of standards, documents, and guides**

A new IECEX service facility certificate may be issued to a service facility for a specified edition or one prior of the relevant standards, documents and guides indicated in Clause 2 (Normative references).

NOTE The Ex service facility may issue reports for any specified edition of the relevant standards, up to and including the edition given in the certificate.

An upgrading of existing IECEX service facility certificates is required to be undertaken within a time-period not exceeding 3 years after the publication of a new edition of an IEC International Standard.

IECEX service facility certificates that are not upgraded within this period shall be suspended or cancelled.

## **6 Confidentiality**

All those participating in the IECEX Certified service facilities scheme shall respect the confidentiality of any information that they obtain and take all reasonable steps to bind their staff and those working under contract to preserve that confidentiality. The effectiveness of such steps taken shall be evaluated as part of the IECEX assessment of the ExCB.

## **7 Participation of countries in the IECEX Certified service facilities scheme**

To be eligible to participate in the management of the IECEX Certified service facilities scheme, a country must first be a member of the IECEX System and comply with the requirements for IECEX membership, as detailed in IECEX Basic Rules.

Countries that are existing members of the IECEX System shall be considered members of the IECEX Certified service facilities scheme.

## **8 IECEx instruments**

### **8.1 IECEx service facility certificate**

#### **8.1.1 Issue**

An ExCB, on the basis of a satisfactory IECEx facilities audit report (FAR), issues an IECEx service facility certificate certifying that the Ex inspection and maintenance service identified on the certificate conforms in all relevant respects with the IECEx requirements concerning technical and quality management system procedures; and utilizes at least one person identified as a responsible person, as defined in IEC 60079-14 and IEC 60079-17 and whose competence has been satisfactorily demonstrated to the ExCB.

The purpose of an IECEx service facility certificate is to provide independent verification that the service facility, listed on the IECEx service facility certificate, has the capability to comply with IECEx Certified service facilities scheme requirements.

NOTE 1 The ExCB obtains evidence to verify the competence of the service facility staff, as claimed by the service facility, during the assessment which may be by way of examination, interviews, demonstration of skills or a combination of these. Formal training, both internal and external, concerning Ex should also be considered.

NOTE 2 The requirements set forth in IECEx OD 504 (Specification for units of competence assessment outcomes), Units of competence Ex 004 (Maintain equipment in explosive atmospheres), Ex 007 (Perform visual and close inspection of electrical installations in or associated with explosive atmospheres) and Ex 008 (Perform detailed inspection of electrical installations in or associated with explosive atmospheres) should be used as a reference.

#### **8.1.2 Layout**

The ExMC shall decide on the layout and content of IECEx service facility certificates.

#### **8.1.3 Content**

The IECEx service facility certificate shall contain at least the following information:

- Certificate number
- Date of issue
- Clear description of the Ex inspection and maintenance service and any limitations of scope
- Reference to the relevant standard (IEC 60079-14 and IEC 60079-17, as applicable)
- Name and address of the service facility for Ex inspection and maintenance legal entity
- The location from where the services covered by the IECEx service facility certificate are controlled and reports are issued. A certificate shall only cover one location; in case of multiple locations each location shall have its own certificate
- Reference number of the original FAR that enabled the IECEx service facility certificate to be issued
- Name of the issuing ExCB

### **8.2 IECEx facilities audit report**

#### **8.2.1 Content**

A FAR is prepared and issued by an ExCB recording the assessment of an Ex service facility's quality system for compliance with the IECEx inspection and maintenance requirements. The assessment includes assessing conformity of the service facility's documented quality system with the requirements of the IECEx Certified service facilities scheme in addition to assessing the implementation of the quality system by the service facility and the system for verifying competency of Ex inspection and maintenance staff.

### **8.2.2 Layout**

The ExMC shall define the layout and content of FARs.

### **8.2.3 Issue**

Upon issuing FARs, ExCBs shall ensure that the FAR refers to the location from where the services covered by the IECEx service facility certificate are controlled and reports are issued.

### **8.2.4 Restrictions**

The FAR is a document used in the preparation of the IECEx service facility certificate and is the basis for ongoing surveillance of the service facility. It shall not be used in any form of advertising or sales promotion in a way that the information may be misrepresented.

## **9 Process to issue an IECEx service facility certificate for Ex inspection and maintenance**

### **9.1 Applicant**

An Ex service facility may make an application for an IECEx service facility certificate for inspection and maintenance to any ExCB that has been accepted for this purpose by ExMC. The applicant shall declare that the same application is not ongoing with any other ExCB nor has been refused in a previous stage with the same ExCB.

### **9.2 Documentation**

The documentation submitted by the applicant shall accurately identify the Ex inspection and maintenance services (including any scope limitations) for which certification is required, the names of the responsible persons and Ex inspection and maintenance operatives that are to be verified as being competent as well as their location where the Ex service facility controls its activities and issues reports.

The quality management system (QMS) of the service facility shall be documented and shall control at least:

- the appointment of responsible persons and operatives and the maintenance of their competence,
- the maintenance and calibration of test and measuring equipment used in conducting inspection and maintenance of Ex equipment and Ex installations,
- procedures for safe access to the equipment being inspected or maintained in accordance with the site operator's requirements and minimum occupational health and safety requirements,
- the authorities and responsibilities of persons reviewing, issuing and managing reports.

Reference should be made to the requirements set forth in IECEx OD 504 (Specification for units of competence assessment outcomes), Units of competence Ex 004 (Maintain equipment in explosive atmospheres), Ex 007 (Perform visual and close inspection of electrical installations in or associated with explosive atmospheres) and Ex 008 (Perform detailed inspection of electrical installations in or associated with explosive atmospheres).

### **9.3 Examination**

The ExCB shall conduct an examination of the documentation to verify that the Ex inspection and maintenance service is in conformity with IECEx requirements, which embody the relevant requirements of IEC 60079-14 and IEC 60079-17.

#### **9.4 Assessment of service facility's quality management system**

The ExCB shall assess the conformity of the service facility's quality management system (QMS) and associated quality plan(s) for compliance with IECEX Certified service facilities scheme requirements. The ExCB shall issue an IECEX FAR only when full conformity with IECEX Certified service facilities scheme requirements has been established.

A facility assessment report (FAR) is valid for a maximum period of three (3) years providing intermediate FAR assessments are satisfactory and the FAR is up-issued. An FAR can be withdrawn or suspended if the results of intermediate surveillance assessments are unsatisfactory during the three-year period. On or before the expiry of the three-year period a full reassessment is required and the FAR up-issued to reflect a satisfactory completion of a full reassessment of the specified location(s).

#### **9.5 Completion**

Upon satisfactory completion of the work, the ExCB shall conduct an independent review of the FAR to ensure that it covers the service facility location, the specified scope of Ex inspection and maintenance service and where applicable the group, voltage, and protection technique as scope limitations. If the review is satisfactory the ExCB shall issue the FAR together with an IECEX service facility certificate to the applicant, with a copy of each being retained by the ExCB. The service facility and the ExCB shall each retain a set of the documentation referred to in the certificate.

A FAR summary report is published on the IECEX website: [www.iecex.com](http://www.iecex.com), containing at least the service facility's location, the type of service, any scope limitations, and the expiration date of the FAR.

#### **9.6 Surveillance**

The ExCB shall sign an agreement with the service facility to enable the ExCB to carry out or arrange for another body to carry out on its behalf, periodic surveillance of the service facility's quality management system (QMS) and quality plan(s) that shall include on-site assessments at the service facility's premises. The frequency of such surveillance, inspection and assessment shall be set at a frequency of at least once every 12 months, unless the ExCB is aware of concerns that may consider the service facility no longer capable of complying with the IECEX service facility scheme requirements and an increased frequency is deemed appropriate.

#### **9.7 Changes not covered by the FAR**

If the service facility wishes to make any changes to the details of the FAR where such changes may compromise the continued capability to provide the defined scope of Ex inspection and maintenance services listed on the FAR at the specified location, the service facility shall apply to the ExCB which granted the original FAR for an up-issue of the FAR. This application shall describe the changes and the measures adopted to ensure continuing conformity with IECEX requirements.

The ExCB shall arrange for such work as is necessary to be carried out to verify that the service will continue to conform to the scheme requirements after incorporating the change(s). The ExCB shall issue a FAR only when (continued) full conformity with IECEX Certified service facilities scheme requirements has been established.

Upon satisfactory completion of the work, the ExCB shall review the FAR to ensure that it covers the requested change(s). If the review is satisfactory the ExCB shall issue the FAR together with a new version of the relevant certificate to the applicant, with a copy of each being retained by the ExCB.

The Ex service facility and the ExCB shall each retain a set of the documentation referred to in the IECEX ExSF certificate.

## 9.8 Ensuring conformity

The service facility has the responsibility to ensure that all Ex equipment and installations are inspected and maintained in accordance with IECEX scheme, IEC 60079-14 and IEC 60079-17 requirements. Following such work, the Ex service facility shall issue their clients with an IECEX inspection and maintenance report that may bear the IECEX logo in accordance with IECEX Guide 01B.

The Ex service facility shall ensure that the IECEX logo or IECEX service facility certificate is not subjected to misuse or misrepresentation. Such misuse or misrepresentation could lead to suspension or withdrawal of the IECEX service facility certificate.

## 9.9 Documentation retained

In placing an application with an ExCB, the Ex service facility authorizes the ExCB to keep, for future reference, photographs, and technical documentation of the Ex service facility. Such reference material shall be confidential.

## 9.10 Surcharges

An Ex service facility who is not located in an IECEX participating country and an applicant acting on behalf of a service facility in such a country shall pay a contribution to the costs of the IECEX scheme in the form of a surcharge for each application, the amount to be decided by the ExMC and defined in IECEX OD 019. The surcharge is to be collected by the ExCB handling the application and remitted to the IECEX account.

## 9.11 Suspension or cancellation

An IECEX service facility certificate may be suspended or cancelled by the issuing ExCB in case including but not limited to:

- there are outstanding fees payable to the ExCB,
- the certificate has been issued in error,
- the applicant specified on the service facility certificate requests voluntary suspension or cancellation,
- where the certificate or IECEX logo is used in a potentially misleading manner,
- the Ex inspection and maintenance service no longer complies with IECEX requirements, as specified in these Rules of Procedure and the supporting operational documents and ExSFC decision sheets; or
- the Ex service facility's quality management system (QMS) and associated quality plan(s) no longer provide adequate confidence that Ex equipment will be inspected and maintained in accordance with IECEX requirements.
- Audits of the service facility activities have not been satisfactorily completed or not conducted according to IECEX requirements for audit intervals

The ExCB shall consult with the applicant to explain the reasons for a decision for certificate suspension or cancellation and ensure that they are aware that they are no longer permitted to describe their services as "IECEX certified". The communication shall also advise the applicant that with immediate effect, they are required to update any publicly available information (such as website and marketing material) to remove any association between IECEX and their services. Suggested text for ExCB communications to the applicant follows:

*Further to \*\*\*, we can confirm that these certificates have now been suspended until further notice/cancelled permanently.*

*[INSERT LIST OF CERTIFICATES HERE]*

*Please be aware that you are no longer permitted to describe the services specified in the above certificates as "IECE certified". Please also ensure that you immediately update the following to remove any association between IECEx and the services listed products in the affected certificates:*

- a) *Website*
- b) *Marketing material (data sheets, sales brochures, sales catalogues), as necessary*
- c) *Product labelling*
- d) *Reports on services*

*Equipment subjected to services provided prior to the date of suspension/cancellation may be described as being certified.*

*\*\*\* Replace with the appropriate text describing the reason for suspension or cancellation. The following examples may be used:*

*Your recent request to suspend/cancel the certificate/s of conformity listed below*

*Recent information we have received regarding the certificate/s of conformity listed below,*

*Our recent correspondence of our intentions to suspend or cancel the certificate/s of conformity listed below*

When an IECEx service facility certificate is suspended or cancelled, the service facility specified on the certificate shall no longer describe the Ex inspection and maintenance service, or their organization, as "IECEX certified", and shall NOT use the IECEx logo on future IECEx inspection and maintenance reports (until any suspension is removed).

The ExCB responsible for issuing the IECEx service facility certificate shall determine the effect of equipment already inspected and maintained prior to the cancellation of the certificate, prior to requesting that the IECEx Secretariat cancel or suspend the certificate and specify to the IECEx Secretariat a date for effectivity of the suspension or cancellation to be used in statements to the added to the amended status certificate.

Suspended certificates shall have text similar to the following inserted in the scope of service field of the certificate so that the certification status of work done before and after the suspension is clear:

*NOTE: This certificate was SUSPENDED on <date> at the request of the issuing IECEx certification body (ExCB) following their consultation with the applicant. This suspension does NOT affect equipment that was repaired or overhauled prior to the date of cancellation of the certificate and such equipment is not subject to withdrawal from the market or from the installation site. Any comment may be directed to the issuing ExCB.*

A suspension of a certificate may be removed (and the certificate restored to status = Current) by the IECEx Secretariat on request from the issuing ExCB after the matters leading to the original suspension have been resolved to the satisfaction of the issuing ExCB and all supporting FARs have been up-issued where relevant to be current.

In the case of certificate restoration, a statement similar to the following shall be inserted in the restored certificate's scope of service field:

*NOTE: This certificate was temporarily SUSPENDED over the period of <date #1 to date#2> at the request of the issuing IECEx certification body (ExCB) following their consultation with the applicant. This suspension does NOT affect equipment subject to services provided prior to <date#1> or after <date#2>. Any equipment subjected to services during the suspension period of <date#1> to <date#2> cannot be considered to be covered by the IECEx certified services specified on this certificate. Any comment may be directed to the applicant or ExCB.*

Cancelled certificates shall have text similar to the following inserted in the scope of service field of the certificate so that the certification status of work done before the cancellation is clear:

*NOTE: This certificate was CANCELLED on <date> at the request of the issuing IECEx certification body (ExCB) following their consultation with the applicant. This cancellation does NOT affect equipment that was repaired or overhauled prior to the date of cancellation of the certificate and such equipment is not subject to withdrawal from the market or from the installation site. Any comment may be directed to the issuing ExCB.*

The cancellation of a certificate is permanent and hence cancelled certificates CANNOT be restored to status = Current, nor can they be up-issued. Therefore, ExCBs should note this when considering certificate cancellations (refer to IECEx OD 011-1 for further guidance).

## **9.12 Compliance with rules**

The applicant shall follow the rules of procedure of the ExCB and shall confirm readiness to comply with all the relevant provisions regarding, for example, facility surveillance and payment of fees.

## **9.13 Appeals**

Should a service facility or applicant be refused the issuing of an IECEx FAR or IECEx service facility certificate or be the subject of suspension or cancellation of an IECEx service facility certificate and disagree with this decision, they may lodge an appeal according to IECEx 01-S.

# **10 Acceptance of certification bodies**

## **10.1 Acceptance of certification bodies (new ExCBs) not currently participating in any of the IECEx System's schemes for certified service facilities**

### **10.1.1 Conditions for acceptance**

A new IECEx Certified service facility scheme certification body ("new certification body") shall be accepted in the IECEx Certified service facility scheme as an ExCB by the IECEx management committee (ExMC) and given the right to issue IECEx service facility certificates and FARs, under the following conditions:

- The applicant certification body shall be located in a participating country
- The applicant certification body shall be recognized at national level for operating Ex certification or approval schemes for specified types of protection
- The competence of the applicant certification body to comply with these rules shall be demonstrated by assessment along with the general competence, efficiency, experience, familiarity with the relevant standards and the types or concepts of protection included in those standards and competence to carry out quality management system assessments
- The applicant certification body shall be assessed for compliance with the requirements of ISO/IEC 17065 concerning their operations and with the requirements of ISO/IEC17021-1 as they relate to the competence of staff to carry out quality management system assessments. Acceptance in another IEC Conformity Assessment System, acceptance in another IECEx scheme, or accreditation by a recognized national accreditation body shall be considered by the lead assessor in conjunction with the IECEx Secretariat in deciding upon the extent of the assessment that is necessary. (Refer to Annex B for guidance on these considerations)

### **10.1.2 Application**

The new candidate certification body, via the national member body of the IECEx System, shall make an application for the acceptance of a certification body for the issuing of IECEx service facility certificates.

The application shall be submitted to the IECEx Secretariat as a completed form (refer ExMC/417\*/Q) and shall be accompanied by a declaration as detailed in Annex A following in this publication.

Existing ExCBs currently accepted in the IECEX Certified equipment scheme may apply for acceptance as an ExCB in the IECEX Certified service facilities scheme by submission of an application to the IECEX Secretariat using ExMC/417\*/Q. IECEX OD 316-4, Section 3 provides details on the process for responding to this type of application for acceptance.

### **10.1.3 Assessment**

The new candidate certification body (ExCB) shall be assessed according to the IECEX assessment procedures to determine that the conditions according to 10.1.1 are fulfilled. The assessment may include witnessing by an IECEX assessor of an assessment of a service facility conducted by the new candidate ExCB.

Assessors approved by ExMC shall carry out the assessment as part of an IECEX assessment team appointed by the IECEX Secretariat. The candidate new ExCB shall be given the names and current appointments of the assessors proposed. All those IECEX assessors proposed shall have a working knowledge of Ex inspection and maintenance practices. Candidates may object “for cause” (reasons to be stated) to the appointment of specific assessors.

The new candidate ExCB to be assessed shall express its willingness to pay the professional fees of the assessors. The amount will be decided by the ExMC (and normally documented in IECEX OD 019) and will include reasonable travelling and living expenses arising from the assessment. An estimate of these expenses shall be provided to the candidate in advance and agreed by the candidate new ExCB.

IECEX assessment teams shall report to the IECEX Executive Secretary who shall manage all assessments, including the appointment of assessment teams from a list of assessors approved by the ExMC, to ensure assessments are carried out in a timely manner and in accordance with the requirements of the scheme.

### **10.1.4 Resolution of differences**

During the assessment, the assessors shall prepare a draft report that shall be discussed with the management of the candidate certification body. Efforts should be made to resolve any differences of opinion between the assessors and the candidate during this discussion.

### **10.1.5 Report to ExMC**

The assessors shall submit to the IECEX Secretariat for initial review and then to ExMC, with a copy to the representatives of the candidate certification body, a confidential report containing their findings and recommendations, considering the declaration submitted together with the application. The candidate may attend an ExMC meeting or submit written comments to respond to enquiries regarding its application.

### **10.1.6 Acceptance**

The ExMC shall decide upon the acceptance of the candidate certification body at an ExMC meeting or by correspondence. In the latter case, the decision shall be reported to the next meeting of the ExMC and recorded in the minutes.

### **10.1.7 Notification**

If the decision of the ExMC is positive, the IECEX Secretariat shall inform the candidate certification body in writing of their acceptance.

If the decision of the ExMC is negative, the Chair of the ExMC may, depending on the findings, suggest to the candidate certification body:

- a) to withdraw the application, or
- b) to accept a new assessment.

### **10.1.8 Changes in application**

Each ExCB as an applicant, candidate or accepted ExCB shall inform the IECEx Secretariat about changes in the information given according to 10.1.2.

### **10.1.9 Extension of scope within the IECEx 03-4 scheme**

When an ExCB already accepted in the IECEx Certified service facility scheme to issue certificates and FARs to facilities providing inspection and maintenance services wishes to extend its scope of acceptance within the 03-4 scheme with respect to additional Ex protection techniques, an application shall be made to the IECEx Secretariat via the member body of the IECEx System. If the ExCB has been assessed within the last five years, the members of the assessment team who assessed the ExCB may be invited to provide comments on the application during a review process that shall be conducted by the IECEx Secretariat in consultation with the IECEx Executive.

The IECEx Executive shall decide whether the extension can be accepted based on the information provided or whether a full or limited assessment will be needed. Decisions of the IECEx Executive shall be reported to the next ExMC meeting for endorsement.

### **10.1.10 Re-assessment**

By means of re-assessment to the extent and frequency deemed necessary, the ExMC shall verify whether ExCBs continue to satisfy the conditions of 10.1.1.

### **10.1.11 Withdrawal**

An ExCB wishing to withdraw from the IECEx Certified service facilities scheme shall notify the IECEx Secretariat via the member body of the IECEx Certified service facilities scheme at least one year in advance and shall indicate the reason for the withdrawal and the date from which the withdrawal will become effective.

### **10.1.12 Suspension**

The acceptance of an ExCB may be suspended or withdrawn by the ExMC if the ExCB no longer fulfils the conditions of 10.1.1 or if in the opinion of the ExMC, the ExCB hinders the aim, operation or development of the IECEx Certified service facilities scheme, fails to take action regarding misuse of IECEx service facility certificate, or violates these rules. Before such a decision is made, the ExCB shall be given the opportunity to take corrective action over a period of six months and state its own opinion on the matter.

A decision to suspend or withdraw the acceptance of an ExCB shall normally require agreement at a meeting of the ExMC by a majority of at least four fifths of the total number of IECEx System member bodies voting. Where dealt with at a meeting, members not attending that meeting shall have the right to cast their vote in writing by registered mail, or e-mail to the IECEx Secretariat prior to the meeting.

Where, in the opinion of the IECEx Executive Secretary, a matter is considered so serious, for example an item or action that may bring the reputation of IEC and IECEx into question, that it requires immediate action, an ExCB may be suspended following consultation and support with the IECEx Chair and at least two thirds of members of the IECEx Executive. The IECEx Secretariat shall within one (1) month, inform ExMC members of the decision with an indication of the date of suspension.

In such cases the IECEx Chair shall report, with supporting information, at the next ExMC meeting for review of the decision to continue with suspension or withdrawal of the ExCB acceptance or if the decision needs to be taken before the next ExMC meeting this matter shall be dealt with via voting by correspondence by a majority of at least four fifths of the total number of members voting.

In case of a suspension or a withdrawal, the certification body in question shall not be allowed to claim any relationship with the IECEX Certified service facilities scheme.

## **11 IECEX publications**

### **11.1 Types of publications**

The publications of the IECEX System shall accommodate the relevant information regarding Ex inspection and maintenance.

In addition, the ExMC may issue operational documents to ensure the common application of these Rules of Procedure by all ExCBs.

The IECEX Secretariat shall maintain a current list of all operational documents.

### **11.2 Information to be available**

The following information shall be made readily available to the public:

- A current list of accepted ExCBs
- Service facilities holding IECEX service facility certificates
- IECEX service facility certificates

This and other relevant information may be made available on the IECEX website [www.iecex.com](http://www.iecex.com).

### **11.3 IECEX Bulletin**

The Bulletin detailed in IECEX 02 shall be amended to accommodate the relevant information regarding the IECEX Certified service facilities scheme.

### **11.4 Source of information**

The information published in the IECEX publications is based on information given by the member bodies of the IECEX Certified service facilities scheme and ExCBs. Neither the IEC nor the IECEX Secretariat is therefore liable for the accuracy of that information. Publication of commercial information shall be avoided.

## **12 Complaints**

If there are complaints concerning the actions of an ExCB that the ExMC cannot resolve, the ExMC or the complainant shall have the right to request the IEC Conformity Assessment Board (CAB) for appropriate action in accordance with IECEX Basic Rules.

## **Annex A**

(normative)

### **Declaration by a certification body applying to become an Ex certification body for the IECEX Certified service facilities scheme for Ex inspection and maintenance**

The declaration by a certification body applying to become an Ex certification body (ExCB) under the IECEX Certified service facilities scheme shall be a self-contained document including the following information:

- a) A description of the body which gives, in addition to an organization chart, information about the legal status of the body, the address(es) at which it manages services and issues reports
- b) The means by which the body will demonstrate compliance with ISO/IEC 17021-1 and ISO/IEC 17065
- c) The responsibilities at national level concerning certification and the schemes operated
- d) The arrangements for appeal, the documents available for providing supporting information, for example with regard to existing accreditation
- e) The details of senior management and staff with competence in the validation of Ex service facilities
- f) A list of the type of Ex inspection and maintenance services for which the body wishes to issue IECEX service facility certificates
- g) A statement of the number of reports issued in the preceding two years, under the IECEX Certified service facilities scheme or some other relevant national or regional Ex certification scheme
- h) A summary of past experience in relevant testing, inspection or maintenance activities regarding Ex equipment and Ex installations, onshore or off-shore
- i) A statement that the Ex certification body will abide by the rules and use its best endeavours to assist in the achievement of the aims and objectives of the IECEX System

## **Annex B** (informative)

This Annex is provided as guidance for considerations conducted according to the fourth paragraph of Clause 10.1.1 in this publication.

During discussions at the 2021 meeting of the IECEx ExSFC (refer ExSFC/106/RM) it was suggested that there may be value in noting the assessment criteria for notified bodies for the various directives as outlined in EA-2/17 M:2020, *EA Document on Accreditation for Notification Purposes* (copy available @ <https://european-accreditation.org/wp-content/uploads/2018/10/ea-2-17-m.pdf> ) and also acknowledged that whilst EA-2/17 M:2020 is targeted at conformity assessment of equipment rather than services, it does deal with the directives modules D and D1 which relate purely to QA aspects and therefore bear some relationship to QA of service facilities. (Noting that the IECEx 02 scheme effectively uses modules B and D for product certification).

Furthermore, regarding EA-2/17 M:2020:

- Table 1 indicates that ISO/IEC 17065 is the preferred lead standard, and then in Table 3 that it needs to be augmented by “qa”. If you start with ISO/IEC 17021-1 (the non-preferred lead standard), you need to augment it with “pk”
- “qa” and “pk” are described in the Key on page 19 where the particular clauses from 17021-1 are listed.
- Note 3, below the key is also particularly relevant
- Annex C, page 21, is also relevant to witnessing of CB assessments

Hence it is suggested that the embedded document could be useful background material for the subject in general when deciding on particular aspects to include in the requirements for assessing ExCBs in the IECEx Certified service facilities scheme.