



IECEX Operational Document

**IEC System for Certification to Standards relating to
Equipment for use in Explosive Atmospheres**

OD 011-10

**Guidance on Use of the IECEx Internet based “On-Line”
Certificate of Conformity System**

**Part 10: IECEx On-line Certificate System (OCS) – Second
Generation – “Back Office” Operation**

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INTERNATIONAL ELECTROTECHNICAL COMMISSION

IECEX Certified Equipment Scheme covering equipment for use in explosive atmospheres – IECEX Online Certificate System (OCS), Second Generation – Operation of IECEX OCS “Back Office”

1 Scope

This IECEX Operational Document explains the features and operation of the “Back Office” of the second generation IECEX On-line Certificate System (IECEX OCS). The IECEX OCS “Back Office” is only accessible by the IECEX Secretariat and by IECEX ExCB staff that have been provided with access username/email, password and appropriate access level rights (IECEX OD 011-1 explains about access levels).

2 Normative references

Nil.

3 Definitions

Nil.

4 General Instructions

4.1 General Access Principles

Access to the IECEX OCS requires a user to have a unique ID that includes a Login name, a password and a valid personal email address. ExCB and ExTL users, once created, are assigned either **ExCBAdmin** level access rights (that enables them to draft, edit and issue reports and certificates) or **ExCBBasic** level access rights (that enables them to only draft or edit drafts of reports and certificates)

4.2 Administrator Access

The access to the IECEX OCS for IECEX Secretariat staff requires the *IECEX Secretary permission* option to be ticked when setting up persons who are IECEX Secretariat staff.

5 Main Menu, Level 1 - Administration

5.1 Creation of User and Access Rights for IECEX Secretariat staff as IECEX OCS Administrator – Process Steps

1. Select **Administration** in Main Menu on left of screen after logging as an existing member of IECEX Secretariat staff
2. Select **IECEX Users Access Rights** menu option
3. Click on **Create a new user** button
4. Fill in First Name, Last Name and personal Email address details
5. Select **Create** button
6. Fill in required details as appropriate for **Users Detail** and **Address** sections
7. Select IECEX Secretary Yes in **Permissions** section
8. Select **Save** button

5.2 Creation of User and Access Rights for IECEX ExCB staff – Process Steps

1. Select **Administration** in Main Menu on left of screen after logging as an existing member of IECEX Secretariat staff
2. Select **IECEX Users Access Rights** menu option
3. Click on **Create a new user** button
4. Fill in First Name, Last Name and personal Email address details
[Note that this must be an existing and operational email address that will be checked by the system to confirm validity]
5. Select **Create** button
[Note that if the new user already has an account in the IEC EMS associated with the email address used in Step 4 above, you need to proceed to Section 7 of this Operational Document]
6. Fill in required details as appropriate for **Users Detail** and **Address** sections
7. **DO NOT** select IECEX Secretary Yes in **Permissions** section
8. Select **New permission** button [Noting that this applies to all IECEX Schemes]
9. Select ExCB from pull down list

10. Assign users rights as either OCS IECEX CB Admin OR OCS IECEX CB Basic
11. Select **Save** button

NOTE that, on saving the new user details, the system automatically allocates a default password of **Welcome@OCS** for new users – this is used in conjunction with their personal email address as the username. IECEX OD 011-1 explains how to change the password to personalise it or to recover it if forgotten.

12. Check that new user appears in the list of Permissions and that access level is correct – if not, select Trash can icon to delete and then start again at Step 8 above to add correct user details
- 13.

6 IECEX ExCB & ExTL Details

6.1 Creation of new ExCB or ExTL - Process Steps

6.1.1 Basic Details

1. Select **ExCB/ExTL** in Main Menu on left of screen after logging as an existing member of IECEX Secretariat staff
2. Select **New ExCB** button in upper right of ExCB/ExTL Profiles page
3. Fill in Name, Short Name (that appears on IECEX reports and Certificates as ExCB's identifier of three or four letters) and me and personal Email address details
4. Select **Save & Close** button
5. Add other details by first finding "new ExCB" in the list on the ExCB/ExTL Profiles page (noting that clicking on the Code column title provides a sort facility to list all ExCBs and ExTLs by Short Name in either ascending or descending alphabetical order to assist in locating)
6. Select the  icon (that indicates ability to edit content) beside the Short Name for new ExCB

6.1.2 Address Details

1. Select **Addresses (#)** tab in the **Details** section
2. Select IECEX Scheme(s) in which the new body will participate from tabs in grey menu bar in the **Details** section
3. Select **Add or update details** button
4. Fill in required details as appropriate for **Organisation info Detail** section and select if new body is an ExCB or an ExTL (if the IECEX Scheme in which the body participates has ExTLs). If Set as Default Yes is selected the address will automatically appear on new drafts of Certificates. If other details are added at a later date (eg. different address or organisation name) the correct address will need to be selected to appear as the Default (other addresses will then appear in the **Default for certificate creation** section with Address type code column entry of "MAIN-IECEX" and have Status column show ticked box. The previous details version will now appear in the **Disable for certificate creation** section with Address type code column entry of "OLD-IECEX" and have Status column show an unticked box.

6.1.3 Scope of Capability Details

1. Select **Scope (#)** tab in the **Details** section
2. Select IECEX Scheme(s) in which the new body will participate from tabs in grey menu bar in the **Details** section
3. Select **Add Existing Scope** button
4. Select Standards / Types of Service / Competence Units (as appropriate to the IECEX Scheme in which the new body will participate)
5. Select **Update & Close** button
6. Note that the Scopes list for the selected Scheme will be updated and that options to later remove Standards / Types of Service / Competence Units exist in the Action column (*On* = included in scope, *Off* = not included in scope when ExCB accesses pull down list of Standards / Types of Service / Competence Units when creating a draft Certificate)

6.1.4 Signature Details

1. Select **Signatures (#)** tab in the **Details** section if you need to add names etcetra for persons at the ExCB that will appear in a pull down list of people that can be selected to appear on the certificate as the issuing signatory
2. Select IECEX Scheme(s) in which the new body will participate from tabs in grey menu bar in the **Details** section
3. Select **Create new Signature** button
4. Fill in required details
5. Select **Save & Close** button
6. Note that the Signatures list for the selected Scheme will be updated and that options exist to later remove a person from the pull down list of signatures presented when creating a draft certificate (*On* = appears in pull down list, *Off* = does not appear in the pull down list)

6.1.5 Contacts Details

1. Select **Contacts (#)** tab in the **Details** section if you need to add names and email addresses for contact persons at the ExCB
2. Select IECEX Scheme(s) in which the new body will participate from tabs in grey menu bar in the **Details** section
3. Select **Create New Contact** button
4. Fill in required details
5. Select **Save & Close** button
6. Note that the Contacts list for the selected Scheme will be updated and that options exist to later remove a person from the pull down list presented when creating a draft certificate (*On* = appears in pull down list, *Off* = does not appear in the pull down list)

6.1.6 Logos Details

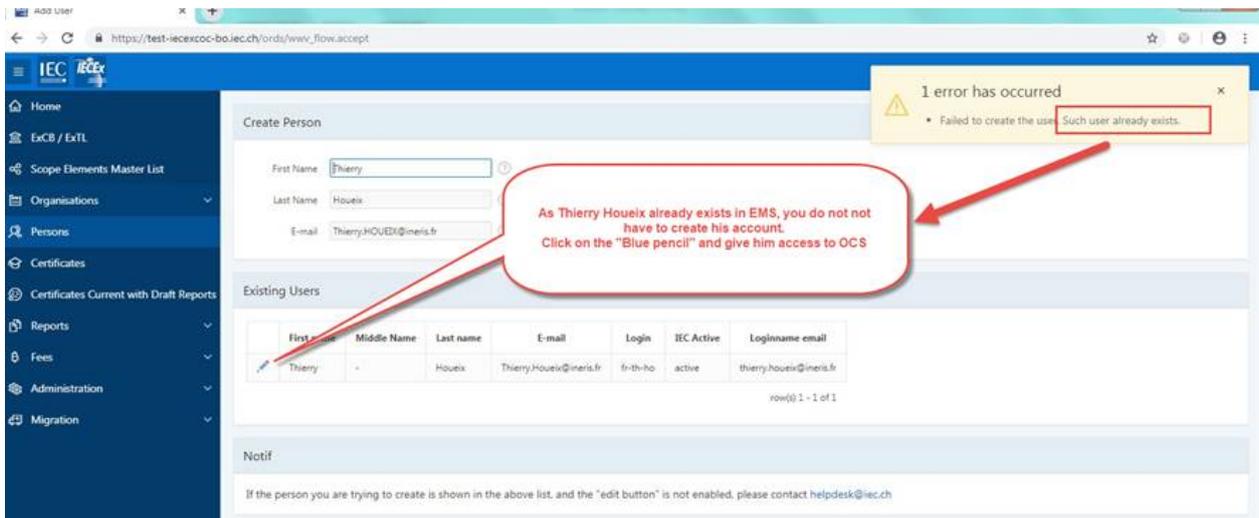
7. Select **Logos (#)** tab in the **Details** section if you need to add names and email addresses for contact persons at the ExCB
8. There is no need to select IECEX Scheme(s) in which the new body will participate because it is presumed that the same logo applies irrespective of the Scheme(s)
9. Select **Add a new logo** button
10. Use the **Choose File** button to locate and select a logo file (e.g. as a .jpg or .png file) from its saved location
11. Use **Upload** to bring it into the IECEX OCS
12. Select **Save & Close** or **Apply Changes** button
13. Note that the Logos list will be updated and that options exist to later remove a logo from from the list of logos that are presented to a user when creating a draft certificate (*On* = appears in list, *Off* = does not appear in the list)

7 Access for users already in IEC Expert Management System (EMS)

Access to OCS is not automatically granted to experts registered in "EMS". For either an existing expert or a new user/expert, action is required by the "IECEX Secretariat" to provide access to OCS (or to any other existing or future IECEX application).

When a user already exists in EMS and you try to create his account in OCS BackOffice:

- You have the message: "Such user already exists" and his account appears in the "Existing Users" list above.
 - In this case, open the account detail by clicking on the blue pencil and then you can give him a role in OCS
- Click on the "blue pencil" to open his account and give them access to OCS IECEX.

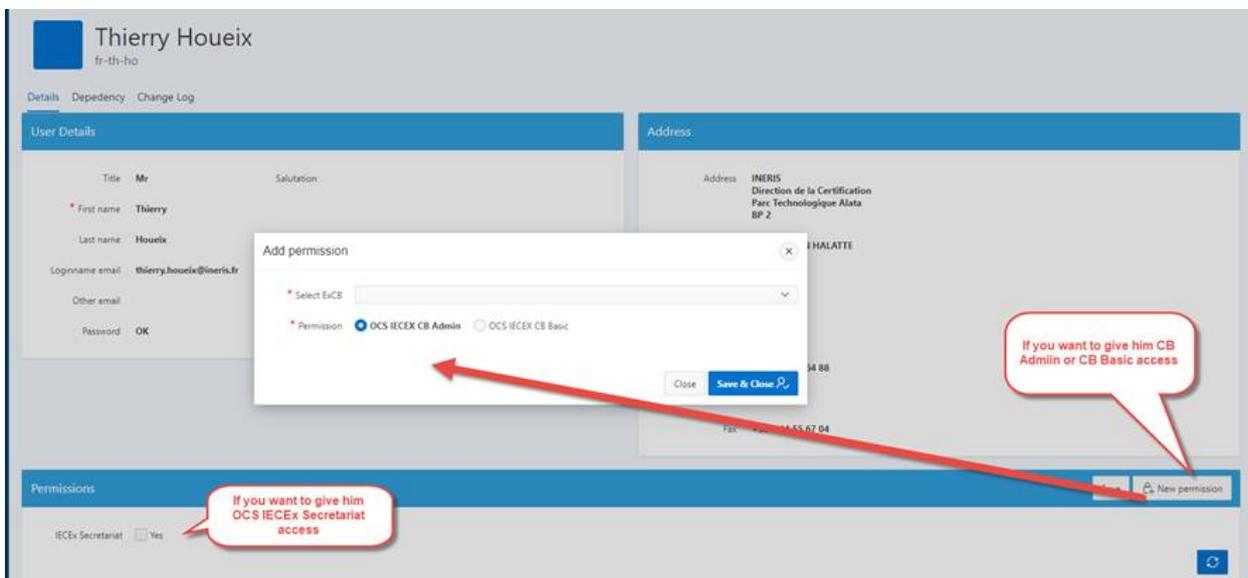


The IECEX Secretariat can assign any of the following access rights

- OCS IECEX Secretariat,
- OCS IECEX *ExCBAdmin*
- OCS IECEX *ExCBBasic*

to a user that has an IECEX OCS account.

ExCBAdmin level user are only able to assign *ExCBBasic* level access rights to users HOWEVER it is recommended that the IECEX Secretariat be contacted for assistance in assigning access rights to new users



As soon as an EMS expert receives a role in OCS (Secretariat, CB Admin or CB Basic), they appear in the "IECEX Users Access Rights" list. EMS experts can log in OCS with their EMS login or EMS Email and their password (the login window includes a link to recover a forgotten password).

When a new account is created the new user will receive an email from EMS System to follow the procedure to activate their account and set their password.

NOTE that the IECEX Secretariat and *ExCBAdmin* level users do not have the authority to access or edit IEC EMS details for individuals. Any changes need to be done in consultation with the user's IEC National Committee

8 Managing the currency of QARs and FARs

8.1 Access to IECEX OCS “Back Office”

Logged in members of ExCB staff with appropriate access level can enter the IECEX OCS “Back Office” (as explained in Section 4.1 of this IECEX Operational Document and in Section 2.1 of IECEX OD 011-1)

8.2 View and management of Reports

The *Reports* menu item enables logged users at ExCBs with ExCBAdmin level access to view key details of out of date or expired QARs and FARs (where their Valid until date has been passed) on the basis of the report's issuing ExCB.

Additional tools are provided to IECEX Secretariat levels users (only) to enable the removal of specific these from the lists visible to ExCBs, or restore them to, the system as visible to ExCB users (by use of the On and Off options in the *Actionoption* column as shown below):

	ExCB	Type	Ref. year	Ref. number	Valid until date	Issue date	Audit date	Actionoption
	SIR	QAR	2019	GB/SIR/QAR13.0026/02	2019-10-30	2018-10-30	2018-09-21	Off On
	CES	QAR	2019	IT/CES/QAR13.0005/06	2019-10-30	2018-09-13	2018-07-26	Off On

This page also provides advanced filtering tools that ExCBs can use to refine their search in terms of a specific ExCB, the report type, report status, report issue date, etcetra. In the case of the Valid Until date range filter that appears as a default, you can modify this by clicking on the blue text / white window area and then selecting the number of time units (in the Expression window) and then the time unit (eg. days, weeks, months etc.). Advanced users can also select different comparison Operators via the same process to conduct more advanced filtering. Additional filter criteria sets can be created by clicking on the column heading of the column that the additional filter needs to be applied to ... for example if you want to filter on the basis of a Reference year you can click on the column title Ref. year and then select a year from the presented list or type a year beside the magnifying glass icon.

IECEX OD 250 explains how to manage expired Reports under a range of different scenarios.

8.3 View and management of Certificates linked to Out of Date Reports

This page also enables ExCBs to view Certificates that are linked to out of date QARs and FARs (and are therefore NOT supporting linked Certificates as valid).

There are **two** types of reports available regarding Certificates linked to Out of Date Reports as explained below:

8.3.1 Certificate Report Type #1 – “Focused Details”

This is available via the right hand side item on the main menu bar (titled “**Certificates Requiring Action**”) and this ONLY displays the details of Certificates that have not been up-issued AND that are linked to one version of a QAR Summary series where the latest version in the QAR Summary series has expired.

This report is provided to enable ExCBs to focus their attention on a list of Certificates that require action directly on the Certificate OR by action on the supporting and out of date QAR Summary series. IECEX OD 250 explains how to manage these Certificates under a range of different scenarios.

This report contains (as shown in the following screenshot) columns that display a wide range of information about:

- the certificate ID # and version
- its issue status,
- which version of the supporting QAR Summary series was linked to it at time of issue
- the QAR Summary ID # and version
- its issue status,
- its validation date (being the date that it expired)
- details of all versions of the QAR Summary series (with the version originally linked to the certificate indicated by a chain link icon)
- the validation date of the latest version of the QAR Summary series.

	Cert ref number	Cert status	Cert issue date		Rpt ref number	Rpt type	Rept status	Rept issue date	Validation date	Allreportsversions	Last validation date
Q	IECEX BAS 05.0081X Issue 1	CANCELLED	2006-11-28	Q	GB/BAS/QAR06.0067/00	QAR	ISSUED	2006-08-10	2007-10-01	GB/BAS/QAR06.0067/00 - ISSUED (2007-10-01)	2007-10-01

Normally a logged in user will only see the Certificates that they have issued – this list will include their certificates that are linked to QAR Summaries that they have issued AND also their certificates that are linked to QAR Summaries that have been issued by a different ExCB.

If a certificate is linked to more than one expired QAR Summary series, the report will show multiple line entries of the certificate with one line entry for each expired QAR Summary that is intended to support the certificate.

The IECEX Secretariat view will show all ExCBs' certificates however this can be filtered by clicking on the column titled 'Cert ref number' and then typing the ExCB's ID acronym (eg. 'BAS' for SGS Baseefa) in the window with a magnifying glass icon and the text Filter ... - this will add a filter for BAS as shown in the following screenshot and only display certificates that include BAS in the Certificate ID #:

Reports by ExCB Certificates with Reports out of date - All CoC Issues Certificates Requiring Action

Search: [] Go Rows: 50 Actions: []

Filter: Cert ref number contains 'BAS' [X]

	Cert ref number	Cert status	Cert issue date		Rpt ref number	Rpt type	Rept status
Q	IECEX BAS 05.0081X Issue 1	CANCELLED	2006-11-28	Q	GB/BAS/QAR06.0067/00	QAR	ISSUED

NOTE: Unwanted filters can be disabled by unticking the box next to the green funnel icon or deleted by clicking on the X icon on the right side of the filter item window.

This report is not presented with a default set of filtering options however as many of these as required can be created as needed. For example, if you only want to see BAS Certificates with status = Current then you click on the column title of 'Cert status' and then select CURRENT from the list presented. This will add another filter for Certificate status and only show BAS certificates that have status = Current (as shown in the screenshot below) because both of these filters are activated (as indicated by the tick in the box beside the green funnel icon).

Reports by ExCB Certificates with Reports out of date - All CoC Issues Certificates Requiring Action

Search: [] Go Rows: 50 Actions: []

Filter 1: Cert ref number contains 'BAS' [X]

Filter 2: Cert status = 'CURRENT' [X]

	Cert ref number	Cert status	Cert issue date		Rpt ref number	Rpt type	s
Q	IECEX BAS 06.0007 Issue 3	CURRENT	2006-12-20	Q	GB/BAS/QAR06.0010/00	QAR	ISS
Q	IECEX BAS 06.0078U Issue 6	CURRENT	2013-07-15	Q	DE/PTB/QAR10.0008/01	QAR	ISS

8.3.2 Certificate Report Type #2 – “Full Details”

The other type of report in the middle of the menu bar and titled “**Certificates with Reports out of date – All CoC Issues**” displays the details of ALL issues of all Certificates that are linked to expired report irrespective of whether or not the certificate been up-issued to a later version.

This report is provided to enable ExCBs to see a full on a list of all versions of Certificates that are linked to an expired report but it is recognised that is potentially confusing and the listing of certificates that cannot be or do not need to be actioned (eg. a later version exists) can be distracting so certificates that have a later version are displayed in grey font as shown in the following screenshot of an example where you will note that Issues 3, 4 and 5 of IECEX BAS

06.0078U are shown in **grey** font because Issue 6 of this certificate exists and it is displayed as **black** text because no Issue 7 exists as a later version of this certificate series.

In the case of this example, the issuing ExCB needs, as explained in IECEX OD 250, to decide whether to:

- (a) contact the issuing ExCB that issued the supporting QAR Summary series (in this example this is the DE/PTB/QAR10.0008/** series) and request that this be updated to be valid,

OR

- (b) to up-issue IECEX BAS 06.0078U to Issue 7 and to link Issue 7 of the certificate to a different but current and valid QAR Summary that covers the manufacturer, manufacturing sites, products, protection techniques etc that are mentioned on Issue 7 of the certificate.

Reports by ExCB Certificates with Reports out of date - All CoC Issues Certificates Requiring Action

Q Go Rows 100 Actions

- Rpt type = 'QAR' x
- Cert status = 'CURRENT' x
- Validation date is in the last 10 years x

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	Cert ref number	Cert status	Cert issue date	Cert first publication date		Rpt ref number	Rpt type	Rept status	Rept issue date	Validation date	Allreportsversions	Last validation date
Q	IECEX BAS 06.0078U Issue 3	CURRENT	2011-09-23	2000-01-01	Q	DE/PTB/QAR10.0008/00	QAR	ISSUED	2010-10-04	2013-09-28	DE/PTB/QAR10.0008/02 - ISSUED (2016-09-28) DE/PTB/QAR10.0008/01 - ISSUED (2013-09-28) DE/PTB/QAR10.0008/00 - ISSUED (2013-09-28)	2016-09-28
Q	IECEX BAS 06.0078U Issue 4	CURRENT	2012-11-12	2012-11-14	Q	DE/PTB/QAR10.0008/01	QAR	ISSUED	2010-10-04	2013-09-28	DE/PTB/QAR10.0008/02 - ISSUED (2016-09-28) DE/PTB/QAR10.0008/01 - ISSUED (2013-09-28) DE/PTB/QAR10.0008/00 - ISSUED (2013-09-28)	2016-09-28
Q	IECEX BAS 06.0078U Issue 5	CURRENT	2013-07-02	2013-07-02	Q	DE/PTB/QAR10.0008/01	QAR	ISSUED	2010-10-04	2013-09-28	DE/PTB/QAR10.0008/02 - ISSUED (2016-09-28) DE/PTB/QAR10.0008/01 - ISSUED (2013-09-28) DE/PTB/QAR10.0008/00 - ISSUED (2013-09-28)	2016-09-28
Q	IECEX BAS 06.0078U Issue 5	CURRENT	2013-07-02	2013-07-02	Q	DE/PTB/QAR12.0007/00	QAR	ISSUED	2012-04-02	2013-08-30	DE/PTB/QAR12.0007/01 - ISSUED (2016-08-30) DE/PTB/QAR12.0007/00 - ISSUED (2013-08-30)	2016-08-30
Q	IECEX BAS 06.0078U Issue 6	CURRENT	2013-07-15	2013-07-15	Q	DE/PTB/QAR10.0008/01	QAR	ISSUED	2010-10-04	2013-09-28	DE/PTB/QAR10.0008/02 - ISSUED (2016-09-28) DE/PTB/QAR10.0008/01 - ISSUED (2013-09-28) DE/PTB/QAR10.0008/00 - ISSUED (2013-09-28)	2016-09-28