



IECEX OD 011-1

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IECEX Operational Document

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

**Guidance on Use of the IECEx Internet based “On-Line” Certificate of
Conformity System Part 1: General Information
OD 011-1**

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INTERNATIONAL ELECTROTECHNICAL COMMISSION

IECEX Operational Document 011-1

Guidance on Use of the IECEX Internet based “On-Line” Certificate of Conformity System Part 1: General Information

INTRODUCTION

This Operational Document provides guidance for all users of the IECEX Internet based “On-Line” Certificate of Conformity System, including IECEX Members, Manufacturers, End Users, Consulting Engineers, Regulators, Insurance Companies and the general public.

OD 011 consists of five parts as follows:

OD 011, Guidance on Use of the IECEX Internet based “On-Line” Certificate of Conformity System

- Part 1: General Information (This part)
- Part 2: Creating IECEX Equipment Certificates of Conformity CoCs
- Part 3: Creating IECEX Service Facility Certificates of Conformity CoCs
- Part 4: Creating IECEX Conformity Mark Licenses
- Part 5: Creating Certificates of Personnel Competence CoPCs

This Document covers General Information on the IECEX On-Line Certificates of Conformity System, including an explanation of the Number, Role and Status of IECEX CoCs, IECEX Conformity Mark Licenses and IECEX CoPCs and how to Access the “On-Line” System.

Part 2, Part 3, Part 4 and Part 5 of OD 011 are not intended for general access. A copy can be provided by contacting the IECEX Secretariat as detailed below.

Inquiries relating to this IECEX “On-Line” CoC System or any other aspect of the IECEX System may be directed to the IECEX Secretary, Mr Chris Agius using the contact details below.

Document History

Date	Summary
2003-08	Original Issue (Edition 1)
2007-04	Edition 2 Issued to cover the introduction of the Service Facility program
2008-08	Edition 3 Issued to cover the introduction of the Conformity Mark License
2009-05	Edition 3.1 This edition of IECEX OD 011-1 has been issued to take into account a number of editorial formatting changes. Information with regards to printer margins added to Clause 1.1
2010-08	Edition 4 issued to cover the introduction of Certificates of Personnel Competence. Also printing guidance included in clause 2.4

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Guidance on Use of the IECEx Internet based “On-Line” Certificate of Conformity System Part 1: General Information

1 SECTION 1 GENERAL INFORMATION

1.1 General

The IECEx On-Line Certificate of Conformity System provides for the preparation and issue of IECEx Equipment Certificates of Conformity (IECEX CoC), IECEx Service Facility Certificates of Conformity, (IECEX CoC), IECEx Conformity Mark Licenses and IECEx Certificates of Personnel Competence (IECEX CoPC) by IECEx Certification Bodies (ExCBs) that have been successfully assessed and approved to operate within the IECEx System, by the IECEx Management Committee (ExMC).

The nature of the IECEx CoC “On-Line” System is that once an ExCB issues an IECEx CoC, IECEx Conformity Mark License or IECEx CoPC, the website version acts as the original document and is controlled via strict password protocols. While industry and the public may view and print a copy of the CoC, License or CoPC from the website, they CANNOT alter the version that sits on the Website.

Note: The IECEx Certificate of Conformity System commenced in August 2003. All IECEx Certificates issued immediately following this are accessible via the “On-Line” Certificate System, similar to what we have today. Prior to 2003, the IECEx operated as a system for mutual recognition of Test Reports. With the commencement of the “On-Line” System in 2003, provision was made for IECEx Certification Bodies to “Register” these IECEx Test Reports on the System.

The IECEx CoC “On-Line” System website is located on the IEC Server which is backed up by the IEC Central Office, in accordance with their internal procedures, in the same manner as those for the backing up of all IEC Central Office information, including IEC Standards.

Each ExCB is assigned a unique USERNAME and PASSWORD in order to access the IECEx CoC System with access via the URL below or via a link established from the IECEx Website,

IECEX CoC System URL <http://www.iecex.com/certificates>

1.2 IECEx Equipment Certificate of Conformity (CoC)

1.2.1 Number

The IECEx Equipment CoC Number assigned to each CoC comprises the following:

IECEX YYY ZZ.0000

Where:

IECEX = Identifies that the CoC has been issued in accordance with the IECEx Rules and Procedures

YYY = The ExCB code

ZZ = The last two digits of the year of issue

0000 = The consecutive number of CoC for that year. This number is reset for each year

(Note: The above CoC numbering complies with the Marking requirements of IEC 60079-0)

1.2.2 Status and Role of the IECEx Equipment Certificate of Conformity (CoC)

From inception of the IECEx System, it has always been planned that the System would adopt the principles of an ISO Type 5 Product Certification Scheme, in compliance with ISO/IEC Guide 65. Therefore, it is important that the meaning and role of an IECEx CoC is clearly understood.

An Equipment Certificate of Conformity, as provided for under the IECEX System, requires the successful assessment of both sample testing and factory inspection/audit prior to the CoC being issued. In this sense the CoC is providing assurance that the manufacturer has the capability to produce a product, complying with standards listed on the certificate, consistently.

Therefore an IECEX Equipment CoC confirms that both:

- 1) Sample(s) tested were found to meet the Standards; and
- 2) The manufacture's quality system meets IECEX requirements.

While the focus of the IECEX System is on the issuing of an IECEX Equipment CoC, the System provides flexibility to cater for markets where National Standards are not yet identical to IEC and where a local or national certificate is still required.

Therefore IECEX Certification Bodies (as listed on the IECEX Website) are able to issue manufactures with any of the following:

An IECEX Test Report (ExTR) which provides confirmation that a sample was tested and found to comply with the Standards shown in the Report.

An IECEX Quality Assessment Report (QAR) which provides assurance that a manufacturer's quality system has been audited and found to meet IECEX requirements, which are based on ISO 9001:2000.

An IECEX Equipment Certificate of Conformity (CoC) which provides assurance that both an ExTR and QAR have been successfully completed, covering the product listed on the CoC and that the ExCB, issuing the CoC, has placed the manufacturer under a surveillance program in accordance with IECEX requirements, to ensure that the manufacturer maintains compliance with IECEX quality system requirements and IECEX Rules.

Manufacturers issued with an IECEX Equipment CoC are able to include the IECEX Certification number on their products. While a manufacturer with an IECEX Equipment CoC is permitted to use the CoC in advertising, IECEX Rules do not allow manufacturers to use ExTRs or QARs for promotion or advertising purposes.

In this sense, the IECEX Management Committee has determined that a CoC CANNOT be issued just on the basis of an ExTR alone. Rather, an ExTR can be issued for the purpose of seeking certification or approval under national or regional systems.

Once an IECEX CoC is issued it is necessary that the ExCB maintains surveillance of the manufacturer in order to have objective evidence that the manufacturer maintains the capability of producing Ex products that comply with the Standards listed on the IECEX CoC. Therefore, the IECEX CoC System provides for the following status of an IECEX Equipment CoC:

- Draft
- Current
- Suspended
- Cancelled

Draft – This is the status during the preparation or drafting of an IECEX CoC by the ExCB. Only the ExCB that is creating the Draft and the On-Line System Administrator may view Draft CoCs. Other ExCBs or the public CANNOT view Drafts prepared by another ExCB.

Current – Once approved for issue by the ExCB, a CoC is regarded as Current and remains so while the requirements of the IECEX System are being fulfilled by both Manufacturer and ExCB, including surveillance of the Manufacturer. A Current CoC can be viewed by everybody.

Suspended – Once a CoC is issued and the ExCB conducts surveillance of the manufacturer, there may be a need to “temporarily” Suspend an IECEX CoC. In such cases it will be necessary to contact the IECEX Secretariat to reset the Status of the IECEX CoC to “Suspended”. During the time the IECEX CoC is suspended the Manufacturer cannot apply the IECEX certification number to the products nor can he claim that such products are covered by the IECEX CoC. A Suspended CoC does not mean that Ex products produced prior to the suspension are no longer in compliance. Suspended CoCs can be viewed by everybody.

Cancelled – Where there is a need to cancel an IECEX CoC such as-

- a) a Manufacturer no longer wishes to continue with production of the Ex product, listed on the IECEX CoC; or
- b) an ExCB has a need to cancel an IECEX CoC; it will be necessary to contact the IECEX Secretariat to reset the Status of the IECEX CoC to “Cancelled”.

Items to be considered when cancelling an IECEX CoC include the following:

- i) Date of cancellation.
- ii) If any previously supplied products are impacted by the cancellation.

Cancelled IECEX CoCs remain on the “On-Line” System and can be viewed by everybody.

1.3 IECEX Service Facility Certificate of Conformity (CoC)

1.3.1 Number

The IECEX Service Facility CoC Number assigned to each CoC comprises the following:

IECEX YYY S.0000

Where:

IECEX = Identifies that the CoC has been issued in accordance with the IECEX Rules and Procedures

YYY = The ExCB code)

S0000 = The consecutive number of the CoC

(Note: The above CoC numbering complies with the Marking requirements of IEC 60079-0)

1.3.2 Status and Role of the IECEX Service Facility Certificate of Conformity (CoC)

A Service Facility Certificate of Conformity, as provided for under the IECEX System, requires the successful Inspection/Service Facility audit prior to the CoC being issued. In this sense the CoC is providing assurance that the Service Facility Location has the capability to provide a Type of Service for the Type of Protection listed on the CoC, consistently.

Therefore IECEX Certification Bodies (as listed on the IECEX Website) are able to issue a Service Facility with the following:

An IECEX Facility Assessment Report (FAR) which provides assurance that a Service Facility Location quality system has been audited and found to meet IECEX requirements, which are based on ISO 9001:2000.

An IECEX Service facility Certificate of Conformity (CoC) which provides assurance that a FAR have been successfully completed, covering the type of service listed on the CoC and that the ExCB, issuing the CoC, has placed the locations covered by the CoC under a surveillance program in accordance with IECEX requirements, to ensure that the Service Facility maintains compliance with IECEX quality system requirements and IECEX Rules.

Once an IECEX Service Facility CoC is issued it is necessary that the ExCB maintains surveillance of the Service Facility Location in order to have objective evidence that the locations covered by the CoC maintain the capability of providing the Type of Service listed on the IECEX Service Facility CoC. Therefore, the IECEX CoC System provides for the following status of an IECEX Service Facility CoC:

- Draft
- Current
- Suspended
- Cancelled

Draft – This is the status during the preparation or drafting of an IECEX CoC by the ExCB. Only the ExCB that is creating the Draft and the System Administrator may view Draft CoCs. Other ExCBs or the public CANNOT view Drafts prepared by another ExCB.

Current – Once approved for issue by the ExCB, a CoC is regarded as Current and remains so while the requirements of the IECEX System are being fulfilled by both Service Facility provider and ExCB, including surveillance of the Location(s) covered by the CoC. A Current CoC can be viewed by everybody

Suspended – Once a CoC is issued and the ExCB conducts surveillance of the location(s) covered by the CoC, there may be a need to “temporarily” Suspend an IECEX CoC. In such cases it will be necessary to contact the IECEX Secretariat to reset the Status of the IECEX CoC to “Suspended”. During the time the IECEX CoC is Suspended the Applicant cannot claim that the particular Type of Service is covered by the IECEX CoC. A Suspended CoC does not mean that the Type of Service provided prior to the suspension is no longer in compliance. Suspended CoCs can be viewed by everybody.

Cancelled – Where there is a need to cancel an IECEX CoC such as an-

- c) Applicant no longer wishes to continue with the Type of Service, listed on the IECEX CoC; or
- d) ExCB has a need to cancel an IECEX CoC; it will be necessary to contact the IECEX Secretariat to reset the Status of the IECEX CoC to “Cancelled”.

Items to be considered when cancelling an IECEX CoC include the following:

- i) Date of cancellation.
- ii) If any previously supplied services are impacted by the cancellation.

Cancelled IECEX CoCs remain on the “On-Line” System and can be viewed by everybody.

1.4 IECEX Conformity Mark License

1.4.1 Number

The IECEX Conformity Mark License Number assigned to each License comprises the following:

ZZZ000

Where:

ZZZ = The ExCB code

000 = The consecutive number of the License

1.4.2 Status and Role of the IECEX Conformity Mark License

A Conformity Mark License, as provided for under the IECEX System, requires the successful review by the Mark committee, ExMarkCo, of the procedures of an existing ExCB prior to being approved to issue Conformity Mark Licenses. Such accepted ExCBs (as listed on the

IECEX Website) are able to issue, to an approved Manufacturer, a Conformity Mark License to use the IECEX Conformity Mark.

An IECEX Conformity Mark provides assurance that a Manufacturer holds an IECEX Conformity Mark License and a valid IECEX Certificate of Conformity (CoC) for each product covered by the IECEX CoCs, listed in the Conformity Mark License Schedule. An IECEX Conformity Mark License Schedule may only list CoCs which have been issued by the same ExCB as issued the IECEX Conformity Mark License.

Once an IECEX Conformity Mark License is issued it is necessary that the ExCB maintains surveillance of the Manufacturer in order to have objective evidence that the Conformity Mark is being used within the IECEX System Rules. Therefore, the IECEX System provides for the following status of an IECEX Conformity Mark License:

- Draft
- Current
- Suspended
- Cancelled

Draft – This is the status during the preparation or drafting of an IECEX Conformity Mark License by the ExCB. Only the ExCB that is creating the Draft and the System Administrator may view Draft Licenses. Other ExCBs or the public CANNOT view Drafts prepared by another ExCB.

Current – Once approved for issue by the ExCB, a License is regarded as Current and remains so while the requirements of the IECEX System are being fulfilled by both the Manufacturer and ExCB, including surveillance of the Manufacturer covered by the License. A Current License can be viewed by everybody

Suspended – Once a License is issued and the ExCB conducts surveillance of the Manufacturer covered by the License, there may be a need to “temporarily” Suspend a License. In such cases it will be necessary to contact the IECEX Secretariat to reset the Status of the License to “Suspended”. During the time the License is suspended the Applicant cannot claim that a particular product is covered by the Mark. A Suspended License does not mean that the Mark applied prior to the suspension is no longer in compliance. Suspended Licenses can be viewed by everybody.

Cancelled – Where there is a need to Cancel a License such as-

- a) an Applicant no longer wishes to continue with the Mark on all the products, listed on the License; or
- b) an ExCB has a need to Cancel a License; it will be necessary to contact the IECEX Secretariat to reset the Status of the License to “Cancelled”.

Items to be considered when cancelling a License include the following:

- i) Date of cancellation.
- ii) If any previous applications of the Mark are impacted by the cancellation.

Cancelled Licenses remain on the “On-Line” System and can be viewed by everybody.

1.5 IECEX Certificate of Personnel Competence (CoPC)

1.5.1 Number

The IECEX Certificate of personnel competence CoPC Number assigned to each CoPC comprises the following:

IECEX CP AAA ZZ.0000

Where:

AAA = The ExCB code

ZZ.0000 = The consecutive number of the CoPC where ZZ is the last two digits of the year of issue.

1.5.2 Status and Role of the IECEx Certificate of Personnel Competence (CoPC)

A Certificate of Personnel Competence, as provided for under the IECEx System, requires the successful assessment of a person and the preparation of an IECEx Personnel Competence Assessment Report (PCAR) prior to the issue of a CoPC.

An IECEx Certificate of Personnel Competence certifies that a Competent Person identified on the CoPC has been independently assessed and verified as competent in the specific competence listed in the CoPC and complies in all respects with the IECEx requirements concerning CoPC procedures.

Accepted IECEx Certification Bodies, as listed on the IECEx Website, are able to issue Competent Persons with the following:

An IECEx Personnel Competence Assessment Report (PCAR) which provides assurance that a Competent person has been independently assessed and found to comply with the IECEx CoPC requirements.

An IECEx Certificate of Personnel Competence (CoPC) which provides assurance that a PCAR have been successfully completed, covering the specific competence listed on the CoPC and that the ExCB, issuing the CoPC, has placed the Certified person covered by the CoPC under a surveillance program in accordance with IECEx requirements, to ensure that the Competent Person maintains continuity of practice in the Ex field and compliance with the IECEx Rules.

Once an IECEx Certificate of Personnel Competence CoPC is issued it is necessary that the ExCB maintains surveillance of the Competent Person in order to have objective evidence that the Competent Person covered by the CoPC maintains the Competence listed on the CoPC. Therefore, the IECEx System provides for the following status of an IECEx Certificate of Personnel Competence CoPC:

- Draft
- Current
- Suspended
- Cancelled

Draft – This is the status during the preparation or drafting of an IECEx CoPC by the ExCB. Only the ExCB that is creating the Draft and the System Administrator may view Draft CoPCs. Other ExCBs or the public CANNOT view Drafts prepared by another ExCB.

Current – Once approved for issue by the ExCB, a CoPC is regarded as Current and remains so while the requirements of the IECEx System are being fulfilled by both the Competent Person and ExCB. A Current CoPC can be viewed by everybody

Suspended – Once a CoPC is issued and the ExCB conducts surveillance of the Competent Person covered by the CoPC, there may be a need to “temporarily” Suspend an IECEx CoPC in accordance with the IECEx Rules IECEx 05. In such cases it will be necessary to contact the IECEx Secretariat to reset the Status of the IECEx CoC to “Suspended”. During the time the IECEx CoC is Suspended the Applicant cannot claim the particular competence covered by the IECEx CoPC. A Suspended CoPC does not mean that the Competence listed prior to the suspension are no longer in compliance. Suspended CoPCs can be viewed by everybody.

Cancelled – Where there is a need to cancel an IECEx CoPC such as an-

- a) Applicant no longer wishes to continue to be considered as complying with the competence listed on the IECEX CoPC; or
- b) ExCB has a need to cancel an IECEX CoPC in accordance with the IECEX Rules IECEX 05;

it will be necessary to contact the IECEX Secretariat to reset the Status of the IECEX CoPC to “Cancelled”.

Items to be considered when cancelling an IECEX CoPC include the following:

- i) Date of cancellation.
- ii) If any previous competence is impacted by the cancellation.

Cancelled IECEX CoPCs remain on the “On-Line” System and can be viewed by everybody.

2 SECTION 2 OPERATIONAL INFORMATION

2.1 Types of Access

There are 3 types of access to the IECEX CoC System:

- IECEX Guest User
- Individual Access by each ExCB
- Access by the System Administrator

IECEX Guest User – This is the term applied to anyone accessing the System who is not an ExCB or the System Administrator. Guest users include manufacturers, service facility providers, end users, regulators, insurers and the general public. IECEX Guest Users do not require a password to gain access to the following:

- View and print Current, Suspended and Cancelled IECEX CoCs, Licenses or CoPCs.
- Conduct searches, including “key words”
- Export Certificates or Licenses to an Excel file.

Individual Access by each ExCB – Using an ExCB’s own dedicated password, an ExCB has access to Create or Edit a file created, only by them, containing a Certificate or License.

Access by the System Administrator – There are two System Administrators with access to all areas of the On-Line System, the IECEX Secretariat and the IT Department of the IEC Central Office in Geneva. However, all enquiries pass through the IECEX Secretariat.

2.2 Assigned Passwords to ExCBs

Upon acceptance as an ExCB, by ExMC, an ExCB will be given a unique Username and Password by the IECEX Secretary. This password will be given to the ExCB’s Official IECEX Representative who **MUST** ensure that the password is strictly controlled by the ExCB and only released to those ExCB Officers that have authority to issue or act as signatories for Certificates. Details concerning access to this Password, by ExCB staff, must be covered by the ExCBs documented quality system regarding responsibilities and authorities.

Should an ExCB believe that there is a possibility that security over this password may have been breached, the ExCB’s IECEX representative, or nominee, shall immediately inform the IECEX Secretary by E-mail or Fax. The IECEX Secretary will then arrange for termination of this password and the generation of a new one.

2.3 Creating a New IECEX CoC, Conformity Mark License or IECEX CoPC

The ExCB is responsible for ensuring that all requirements of the IECEX Rules, IECEX 02, IECEX 03, IECEX 04, IECEX 05 and the steps detailed in the IECEX Operation Manuals have been successfully met.

While there is no set stage throughout the Certification process that an ExCB is to start to create a new IECEX CoC, License or IECEX CoPC, it should be remembered that the IECEX CoC System automatically advances the CoC, License number or CoPC by "1" as soon as a Draft or Current CoC, License or CoPC is saved. Therefore, when creating a new "Draft CoC", "Draft License" or "Draft CoPC", the ExCB should be reasonably confident that the project is at a mature stage and likely to be completed in a short space of time (preferably days or weeks, not months).

The normal approach is for an ExCB to create a new CoC, License or CoPC and to select "Draft" in the Status field and then select the "Save" icon at the top menu [displayed directly above the CoC, License or CoPC]. The Draft will then be saved on the "On-Line" System and can ONLY be viewed by the ExCB that created it and the System Administrator.

The Draft will not be saved on the ExCBs computer, unless of course the ExCB chooses to save the document using "File" "Save As" from their web browser.

When the ExCB is satisfied that all the steps, as detailed in the IECEX Operations Manual, have been successfully completed, the authorizing officer, as defined in the ExCB's own quality management system, may re-enter the IECEX CoC System. Using their designated password the officer should then select "Draft Certificates" or "Draft Licenses", selecting the Draft Certificate or Draft License to be issued. Once displayed, the ExCB selects the "Edit" icon [directly above the Draft CoC, License or CoPC]. This then opens the CoC, License or CoPC fields for any changes to be made. Once any last minute changes are completed and the ExCB's authorizing officer approves the CoC, License or CoPC for issue, the ExCB's authorizing Officer changes the "Status Field" from "Draft" to "Current" and then selects the "Save" icon [directly above the CoC, License or CoPC].

Now the CoC, License or CoPC will be saved on the On-Line System as a "Current" CoC, "Current" License or "Current" CoPC and accessible for viewing or printing by everyone.

2.4 Printing of Certificates

Certificates may be printed by everyone. The following guidance is provided to assist with printing Certificates.

- Using Internet Explorer 6. All page margins to be set to zero.
- Using Internet Explorer 8. With the CoC open, go to "Page", select "Compatibility View Settings" and check "Display all websites in Compatibility View". Also in Print Preview select 100%. Ensure page margins are set to minimum.
