INTRODUCTION

In line with the Report from WG 12 (ExMC/464/R) this draft Operational Document has been prepared by the ExMC Working Group WG 12 as proposed procedures for issuing and maintaining IECEx Certificates of Personnel Competencies.

This draft is issued for consideration during the ExMC Paris October 2008 Meeting.
INTERNATIONAL ELECTROTECHNICAL COMMISSION

Draft IECEx OPERATIONAL DOCUMENT

IECEx Certification Scheme

IECEx Program for Certification of Personnel Competencies
for Explosive Atmospheres –

Ex OD xxxA  Version 1 – draft 05

Title: ExCB Assessment Procedures for issuing and maintaining IECEx Certificates of Personnel Competencies.

IECEx Operational Document

This Operational Document sets out requirements for Personnel to be certified to perform activities/functions according to an applicable IECEx Competency

Use of this OD xxxA is necessary in order for the IECEx Scheme to adequately assign the relevant Personnel Competency assessed.

Document History

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<td>2008 08</td>
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INTRODUCTION

This document is supplementary to the Operational manuals and procedures operated by IECEx Certification Bodies (ExCBs), approved by the IECEx Management Committee to Issue IECEx Certificates of Conformity for Personnel Competencies.

The purpose of the Operational Document is to ensure that each ExCB, accepted by the ExMC for the purposes of issuing IECEx Certificates of Personnel Competency, processes applications from individuals, or organisations nominating individuals, in a consistent harmonious manner.

This IECEx Operational Document comprises procedures for the issuing and maintenance of IECEx Certificates of Personnel Competency.

The procedures are set out in flowchart and table form identifying:

- Step number showing the link between flowcharts and table
- Description of the activity
- Related documents
- Responsible person or party
- Additional comments and remarks where appropriate

The preparation of this document has been done so with the aim of alignment with various ISO/IEC International Standards and Guides, including but not limited to the following:

Guide 27  Guidelines for corrective action to be taken by a certification body in the event of misuse of its mark of conformity

ISO/IEC 17024  Conformity Assessment – General requirements for bodies operating certification of persons

This Draft Operational Document was first prepared by the IECEx Working Group WG12 to be reviewed by the group members prior to the IECEx meeting scheduled September 2006 in Shanghai.

This Version 1 Draft has been prepared taking into account the comments and discussions made at the 14-15-16 April 2008 meeting in Birmingham.
1 Scope

This operational document specifies the requirements for the ExCB assessment procedures for the purposes of Certification of Personnel Competency for those involved in activities such as but not limited to:

- classification of a hazardous area (explosive atmosphere),
- the selection of equipment suitable for hazardous area application,
- the installation of equipment including wiring systems,
- maintenance of hazardous area equipment,
- inspection of hazardous area equipment,
- repair and overhaul of hazardous area equipment

all for use in or associated with explosive atmospheres. (IECEx Certification of Personnel Competency Scheme).

This Operational Document must be read in conjunction with the Basic Rules of the IECEx Scheme, as given in Publication IECEx 01 and the Certification of Personnel - Explosive Atmosphere Competencies, Rules of Procedure, Publication IECEx 05.

Certification to this Operational document provides an attestation of general competence of the person's competence. It does not represent an authorization to operate since this remains the responsibility of the employer, and the certified employee may require additional specialized knowledge of parameters such as equipment, procedures, materials and products of the employer.

Where required by regulatory requirements and codes, the authorization to operate will be given in writing by employer in accordance with quality procedure that defines any employee required job-specific training and examinations designed to verify the certificate holders knowledge of relevant industry codes, standards, procedures, equipment, and acceptance criteria for tested products.

NOTE Where the gender-specific word ‘his’ or ‘he’ is appears in this operational document, the feminine form ‘her’ or ‘she’ is equally applicable.

2 Normative References

Convenors Note

Normative References need to be determined
IECEx rules and operational documents
IEC 60079 standards applicable
3 Principles of the IECEx Scheme, Certification of Personnel Competency Program

3.1 IECEx Certificate of Personnel Competency (Ex CoPC)

The IECEx Equipment Certification Program provides the means for an individual working within Hazardous Areas to obtain a Certificate of Personnel Competency that is intended to be accepted in all participating countries as equivalent to their national certification. An IECEx CoPC may also be accepted in other non-participating countries. An IECEx CoPC may be issued by any ExCB accepted into the Program. The certificate will attest that the individual person conforms to the relevant criteria and that they meet the requirements of this Program and under the surveillance of an ExCB.

3.2 Operational Document Application

This Operational Document is to be applied by ExCBs when processing new applications for an IECEx CoPC.

These steps follow the principles outlined in ISO/IEC 17024, Conformity Assessment – General requirements for bodies operating certification of persons, in addition to the requirements as laid down in the IECEx Program rules, IECEx 05.
1. Receive Application for Competency Certificate

2. Conduct Contract Review

3. Assess Experience and training evidence
   For NON hazardous and Hazardous Area
   Documents preview

7. Report to appl. that
   procedure is stopped

8. Compliance with OD xxxD PC

4. Refer back to applicant

10. Assess result with OD xxxD PC

9. Prepare examination to
   Application level according to
   OD xxxD

5. Conduct Examination

6. Ensure compliance with practical test
   OD xxxD PC

11. Compilation of Examination

12. Compile Competency Examiner Report

13. Certification by ExCB
    PCAR

14. Compile IECEx Competency Certificate

15. Review Certificate for errors

16. Refer to IECEx CB personal or
    applicant as appropriate

17. Issue IECEx Competency certificate

Convenors comment: This figure still requires further consideration

Figure 1 - The Pathway to Registration
<table>
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<tr>
<th>Step</th>
<th>Section 1 - Procedures for the Issuing of an IECEx Service Facility Certificate of Conformity - Description of Activity</th>
<th>Related Documents</th>
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<td><strong>INITIAL ASSESSMENT</strong></td>
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<tr>
<td>1.</td>
<td>Application in accordance with ODxxxB submitted by an individual to an ExCB that has been accepted by the IECEx Management Committee under the IECEx Personnel Competence Scheme</td>
<td>IECEx 05</td>
<td>The individual applicant.</td>
<td>In the application for an IECEx Certificate of Personnel Competency the applicant will provide the initial evidence of compliance with the requirements of this IECEx Program and relevant Operational Documents.</td>
</tr>
</tbody>
</table>
| 2. | Contract review to be conducted by the ExCB receiving the application and shall include:  
- A review to ensure that the application is within the scope of acceptance of the ExCB  
- Confirming receipt of the applicants experience log  
- Confirming receipt evidence of applicants training record and qualifications  
- Determining whether a surcharge applies for applicant from non IECEx member countries  
- Estimation of time and costs to complete project  
- Establishing if there are any special requirements, e.g. travel, translation of documentation etc.  
- Agreement on method and system of payment by applicant, in accordance with ExCB’s own policy and quality system | ExCBs own Certification procedures as included in their Quality System and ISO/IEC Guide 65 | ExCB | The results of the contract review shall be documented and recorded. |
| 3. | ExCB shall only proceed where the contract review has been successfully completed. | | ExCB | |
| 4. | Where unsuccessful, ExCB shall communicate in writing to the applicant with the applicant free to amend their application or, if the ExCB’s scope of IECEx acceptance does not cover the application, select another ExCB. | | ExCB | |
| 5. | The ExCB receiving the application shall conduct an evaluation of the pre-requisite requirements, for the competency being assessed, as detailed in ODxxxB - Application for a Certificate of Personnel Competency.  
The ExCB shall ensure that evidence of the pre-requisites (e.g.: qualifications/training/experience etc. is available and that all work experience to be considered is verified by qualified individuals, (i.e. supervisor and/or management) | ODxxxD | ExCB that received the application | The assessment is conducted by the ExCB.  
The ExCB shall have procedures covering new applications & extension of scope.  
Where the pre-requisite evidence is provided by the applicant it is to be validated by a third party. |
| 6. | Given that the evaluation of the documentation is satisfactory then the individual applicant is approved for the Ex assessment of competency. | | ExCB | Any discrepancies or shortcomings in the documentation must be resolved before proceeding |
| 7. | Incomplete or lack of documentation shall result in the applicant being notified in writing that the assessment cannot proceed. | | ExCB and Applicant | |
### ExCB Assessment Procedures for issuing and maintaining IECEx Certificates of Personnel Competencies.

**Draft 06 - OD xxxA**  
**July 2008**

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<tr>
<td>8.</td>
<td>Where the ExCB has conducted competence assessment of person, according to the requirements of this program, prior to an application being lodged, the ExCB may use all or part of the results from that assessment provided this information is no more than 3 years old.</td>
<td></td>
<td>ExCB</td>
<td>Where results from a scheme other than the IECEx Certificate of Personnel Competency are to be used then the ExCB must have procedures in place to verify equivalence which are then verified by the IECEx Assessors appointed by the ExMC.</td>
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<tr>
<td>9.</td>
<td>The ExCB shall use the appropriate assessment methods suitable for the competency sought as detailed in ODxxxC Competency Outcomes. This may include written examinations, witnessing practical skills, oral examination etc. under controlled conditions.</td>
<td></td>
<td>ExCB and Applicant</td>
<td></td>
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<tr>
<td>10.</td>
<td>Examination content shall be as given in ODxxxC Competency Outcomes. Where required by ODxxxC the ExCB shall have procedures to ensure that choice of examination questions and/or practical exercise is made independently and impartially. The requirements of 17024 must be followed by the ExCB, particularly with variation of multiple choice questions etc.</td>
<td></td>
<td>ExCB</td>
<td>WG12 is to prepare a database of questions and practical exercises for each module of competency which will contain both mandatory questions and a selection of questions which may be used. It is not expected that the ExCB will use the same set examination make up on a regular basis but vary them according to need.</td>
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<td>11.</td>
<td>If training is carried out immediately prior to the competency examination assessment, then the assessment must be selected and conducted independent of the training and training provider.</td>
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<td>ExCB</td>
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<td>12.</td>
<td>The ExCB shall have procedures to confirm the identity of the candidate to ensure that an individual receiving a Certificate of Personnel Competency can be shown to be the same person who was assessed for that competency unit.</td>
<td></td>
<td>ExCB</td>
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<td>13.</td>
<td>The ExCB shall observe any guidance criteria given in ODxxxC Competency Outcomes against which to assess if competency has been achieved.</td>
<td>Industry standard/professional guidance</td>
<td>ExCB</td>
<td></td>
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<tr>
<td>14.</td>
<td>The ExCB shall arrange for an independent review of the completed assessment/s. This review shall be conducted by a qualified person not involved in the original assessment.</td>
<td></td>
<td>ExCB</td>
<td></td>
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<tr>
<td>15.</td>
<td>Where the independent review raises questions that need to be resolved, these shall be referred to the original assessor for clarification, correction or further action.</td>
<td></td>
<td>ExCB</td>
<td></td>
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<tr>
<td>16.</td>
<td>The results of the assessment shall be recorded in the PCAR. The PCAR is then issued in accordance with IECEx05</td>
<td></td>
<td>ExCB</td>
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<tr>
<td>17.</td>
<td>Based on a satisfactory conforming PCAR the Certificate/ID Card is then issued in accordance with IECEx05</td>
<td></td>
<td>ExCB</td>
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<td>18.</td>
<td>The ExCB shall have procedures covering complaints and appeals, withdrawal, cancellation and suspension of a certificate. Where such complaints and appeals cannot be resolved between the applicant and the ExCB, either party has the option to refer the matter to the Ex Competency Review Panel [Ex CRP].</td>
<td></td>
<td>ExCB</td>
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<tr>
<td>19.</td>
<td>The ExCB shall retain records of assessments, recommendations and certification decisions for individuals for at least 3 years from the date of the certificate no longer being valid.</td>
<td></td>
<td>ExCB</td>
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<td>20.</td>
<td>The ExCB shall also periodically review assessment content to ensure consistency and understanding of tasks and questions set. Where appropriate, the ExCB shall address any known issues that arise (i.e. rewriting questions that can be misconstrued) and where appropriate provide feedback to the Program</td>
<td></td>
<td>ExCB</td>
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**SURVEILLANCE**

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<td>21.</td>
<td>The ExCB shall carry out periodic surveillance according to IECEx05 of individuals to ensure that certification remains valid &amp; that those individuals continue to work within the scope of their certified competency.</td>
<td></td>
<td>ExCB</td>
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<tr>
<td>22.</td>
<td>The ExCB shall take into account any feedback from the employer or other parties, make appropriate investigations, and if necessary take steps to correct, withdraw or cancel certification.</td>
<td></td>
<td>ExCB</td>
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<tr>
<td>23.</td>
<td>The ExCB shall have procedures for use and misuse of certificates</td>
<td></td>
<td>ExCB</td>
<td>Notify IECEx Secretariat</td>
</tr>
<tr>
<td>24.</td>
<td>Consider the requirements for the re-assessment and ongoing maintenance of the certificate</td>
<td></td>
<td>ExCB</td>
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</table>