

INTERNATIONAL ELECTROTECHNICAL COMMISSION

**IECEX
02**

Second edition
2003-06

IEC Scheme for Certification to Standards for Electrical Equipment for Explosive Atmospheres (IECEX Scheme) – Rules of Procedure



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INTERNATIONAL ELECTROTECHNICAL COMMISSION

RULES OF PROCEDURE OF THE SCHEME OF THE IEC FOR CERTIFICATION TO STANDARDS FOR ELECTRICAL EQUIPMENT FOR EXPLOSIVE ATMOSPHERES (IECEX SCHEME)

FOREWORD

The IECEX Management Committee (ExMC) has prepared this publication.

All of the annexes to this publication are normative.

This publication is directly related to Publication IECEX 01 containing the Basic Rules of the IECEX Scheme.

This revised edition supersedes IECEX 02 1999-10 IEC Scheme for Certification to Standards for Electrical Equipment for Explosive Atmospheres (IECEX Scheme) – Rules of Procedure

This edition of IECEX 02 takes effect immediately upon publication and replaces the previous edition.

The text of this publication is based on the following documents:

Document	Report on voting
ExMC/154/DV	ExMC/159/RV

Full information on the voting for the approval of this publication can be found in the report on voting indicated in the above table.

Major changes incorporated in this revised edition of IECEX 02 include:

- Provision for the issue of an IECEX Certificate of Conformity (CoC) by all Accepted Certification Bodies and clarification of requirements concerning its issue while maintaining the provision for “fast track” to achieve local or national certification via IECEX Test Reports and Quality Assessment Reports;
- Revised procedures to ensure alignment with ISO/IEC 17025 and Guide 65;
- Revised terminology, i.e. “IECEX Accepted Certification Bodies (ACBs)” now called “IECEX Certification Bodies (ExCBs)” and “IECEX Assessment and Test Report (ATR)” now called “IECEX Test Report (ExTR)”;
- Clarification of the requirements for Ex Manufacturers’ quality system (based on ISO 9001:2000) and the provision for issue of an IECEX Quality Assessment Report (QAR);
- Expansion of the Scope to include standards relating to Ex services, e.g. Repair and Overhaul.

INTRODUCTION

The IECEX is a single global certification scheme based on the International Electrotechnical Commission's international standards. It caters for differing countries whose national standards are either identical to those of the IEC or else very close to IEC 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 is to ease international trade of Ex equipment eliminating the need for duplication of testing and certification. It is a voluntary scheme that provides an internationally accepted means of proving product compliance with an IEC standard.

Where do you commonly find Ex equipment?

Flammable gases, vapours and mists, as well as combustible dusts create potentially explosive atmospheres. Ex equipment in such areas include:

- Automotive refueling stations or petrol stations
- Oil refineries, rigs and processing plants
- Chemical processing plants
- Printing industries, paper and textiles
- Hospital operating theatres
- Aircraft refueling and hangars
- Surface coating industries
- Underground coalmines
- Sewerage treatment plants
- Gas pipelines and distribution centres
- Grain handling and storage
- Woodworking areas
- Sugar refineries
- Metal surface grinding, especially aluminium dusts and particles

IECEX Options

The IECEX Scheme provides both:

1. A single Global Certificate of Conformity, that requires manufactures to successfully complete:
 - Testing and assessment of product samples for compliance with IEC Standards;
 - Assessment and auditing of manufacturers premises;
 - On-going surveillance audits of manufactures premises
2. A “fast track” process for countries where regulations still require the issuing of national Ex certification or approval by way of global acceptance of International IECEX product test and assessment reports (ExTR).

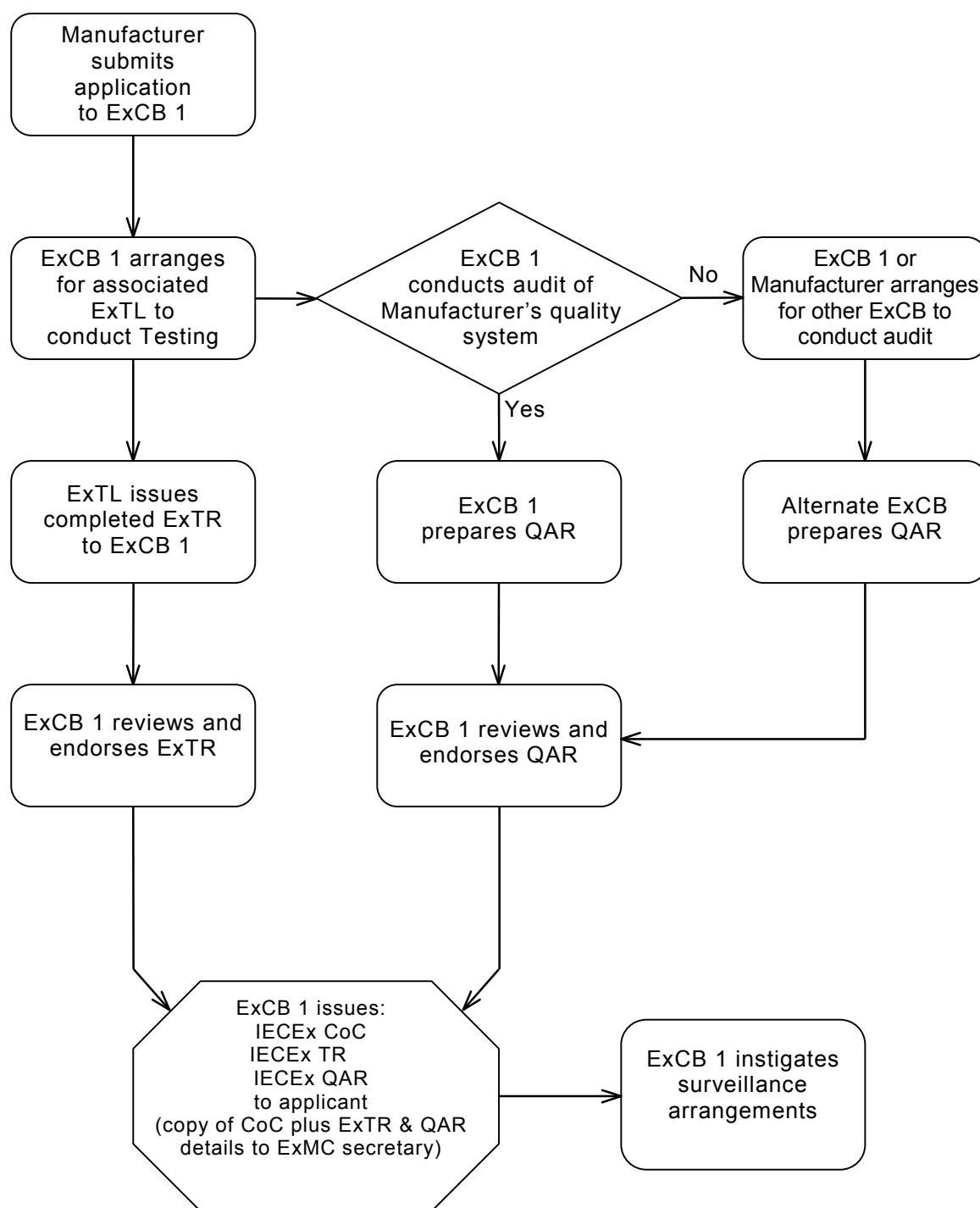
IECEX Credibility

IECEX accepts the participation of Ex Certification Bodies and Test Facilities only after successful completion of the IECEX Assessment Process, which also includes on-going surveillance. Each Ex candidate Certification Body and Test Laboratory are subjected to the same IECEX assessment process utilizing the internationally established ISO/IEC Standards and Guides on conformity assessment supplemented with the IECEX Technical Guidance Documents with world experts in the field of Explosion-Protection being appointed as IECEX Assessors.

More Information

Further information is available from the official IECEX Website: www.iecex.com, containing free copies of the IECEX Rules and Procedures, from any of the IECEX Accepted Certification Bodies or directly from the IECEX Secretariat via the coordinates shown on the IECEX website.

* A testing laboratory and a certification body may be separate or integral. Only those testing labs and accepted certification bodies that are members of the IECEX may issue IECEX Test Reports (ExTRs)



Overview of IEC Ex Scheme

RULES OF PROCEDURE OF THE SCHEME OF THE IEC FOR CERTIFICATION TO STANDARDS FOR ELECTRICAL EQUIPMENT FOR EXPLOSIVE ATMOSPHERES (IECEX SCHEME)

PUBLICATION IECEX 02

1 Scope

This publication contains the Rules of Procedure of the Scheme of the IEC, hereinafter referred to as the "Rules", for the certification of electrical equipment which is intended for use in explosive atmospheres and which complies with one or more IEC standards that define the types of protection against causing an explosion (IECEX Scheme).

The IECEX Scheme becomes operative for each *type or concept of protection* as soon as at least three certification bodies from different countries have been accepted for that *type or concept of protection*.

A list of current standards in use is published in the IECEX Bulletin (see 12.3) and on the IECEX Website (www.iecex.com).

These Rules relate to the Basic Rules of the IECEX Scheme, as given in Publication IECEX 01.

NOTE The IECEX Scheme is applicable to equipment and services e.g. Repair and Overhaul, conforming to standards prepared by IEC TC31 and its subcommittees, which currently include the following:

- flameproof enclosures "d" (IEC 60079-1)
- type of protection 'p' (IEC 60079-2)
- sand-filled apparatus (IEC 60079-5)
- oil-immersed apparatus 'o' (IEC 60079-6)
- increased safety 'e' (IEC 60079-7)
- intrinsic safety 'i' (IEC 60079-11)
- electrical apparatus with type of protection 'n' (IEC 60079-15)
- encapsulation 'm' (IEC 60079-18)
- repair and overhaul (IEC 60079-19)
- dust proof and dust protected enclosures (IEC 61241-1)
- others, e.g. Trace heating and caplights

2 Normative references

The following publications contain provisions, which, through reference in this text, constitute provisions of these Rules. At the time of publication, the editions indicated were valid. The Ex Management Committee shall decide the timetable for the introduction of revised editions of the publications.

IECEX 01: 1999, *Basic Rules of the IECEX Scheme*

ISO/IEC Guide 2: 1996, *Standardization and related activities – General vocabulary*

ISO/IEC 17025: 1999, *General requirements for the competence of calibration and assessment and testing laboratories*

ISO/IEC Guide 65: 1996, *General requirements for bodies operating product certification systems*

3 Definitions

ISO/IEC Guide 2 gives the basic definitions.

For the purpose of the IECEx Scheme, the following definitions apply:

3.1

IECEx Scheme

Scheme of the IEC for the certification of electrical equipment intended for use in explosive atmospheres and applicable to equipment embodying one or more of the types of protection covered by IEC standards prepared by IEC Technical Committee No. 31

3.2

type or concept of protection

the specific measures applied to electrical equipment to avoid ignition of a surrounding explosive gas atmosphere.

[IEC 60079-0: 2000]

3.3

Ex apparatus

items applied as a whole or in part for the utilization of electrical energy and incorporating one or more types of protection for potentially explosive atmospheres. These include, among others, items for the generation, transmission, distribution, storage, measurement, regulation, conversion and consumption of electrical energy and items for telecommunications.

3.4

Ex component

a part of electrical apparatus or a module (other than an Ex cable entry), marked with the symbol "U", which is not intended to be used alone and requires additional certification when incorporated into electrical apparatus or systems for use in potentially explosive atmospheres.

3.5

Ex system

an assembly of interconnected items of Ex apparatus for which the interconnection has to be carried out in accordance with the descriptive system document in order to comply with the explosion protection requirements.

3.6

Ex equipment

a general term applying to Ex apparatus, Ex components and Ex systems.

3.7

IECEx Certificate of Conformity

document issued under these Rules indicating that adequate confidence is provided that a duly identified product is in conformity with a specific standard. The certificate can relate to Ex apparatus, an Ex component or an Ex system.

[ISO/IEC Guide 2: 1996, term 15.5 modified]

3.8

IECEx Mark of Conformity*

* under development

3.9**IECEX Test Report (ExTR)**

a document issued by an ExTL that includes a documented record of the obtained test and assessment results for endorsement by an ExCB, associated with the issuing ExTL, demonstrating that the examined product type is in conformity with specified standards.

NOTE According to IECEx 02:1999, these were known as IECEx Assessment and Test Reports (ATRs) with a complete set of ATR blank forms available for use by the Scheme. These previously prepared ATRs are currently being updated to reflect their new name of "IECEX Test Reports (ExTR)". As an interim measure, previously prepared ATR blank forms may be used where a new ExTR Blank form has not yet been issued.

3.10**IECEX Quality Assessment Report (QAR)**

a document that presents the results of an on-site assessment of a manufacturer's quality control system, by an ExCB, to the requirements of the IECEx Scheme

3.11**Ex Management Committee (ExMC)**

the body that administers the operation of the IECEx Scheme and is responsible to the Conformity Assessment Board of the IEC.

3.12**Ex Testing and Assessment Group (ExTAG)**

the body, which deals with questions of practice relating to assessment and testing under the IECEx Scheme and is responsible to the Ex Management Committee.

3.13**Member Body of the IECEx Scheme**

a body which has been accepted according to the Basic Rules of the IECEx Scheme, Publication IECEx 01 and to these Rules of Procedure, and which is either a National Committee of the IEC or a body notified to the ExMC by the National Committee of the IEC.

3.14**Ex Certification Body (ExCB)**

a body which has been accepted according to these Rules and which issues IECEx Certificates of Conformity, IECEx Quality Assessment Reports and also endorses IECEx Test Reports.

3.15**IECEX Assessment and Testing Laboratory (ExTL)**

an assessment and testing laboratory which is accepted according to these Rules and which is either integral with, or under the complete control of, or belongs to or works under a written agreement for an Ex Certification Body.

3.16**national differences**

those requirements or test parameters in the corresponding national standard which, when applied to equipment complying only with the standard accepted for use in the IECEx Scheme, might entail non-compliance of that equipment with the relevant national standard.

NOTE 1 When a requirement in the IEC standard is not implemented in the corresponding national standard, that is also a national difference.

NOTE 2 Those restrictive requirements in a national standard, which do not deviate from the criteria included in the corresponding standard accepted for use in the IECEx Scheme, but which limit the possibility to offer the relevant equipment for sale in the country concerned, are also considered to be national differences.

3.17**applicant**

a firm or a person who applies to an Ex Certification Body for obtaining an IECEx Certificate of Conformity, an IECEx Test Report or an IECEx Quality Assessment Report.

3.18

manufacturer

an organization, situated at a stated location or stated locations, that carries out or controls such stages in the manufacture, assessment, handling and storage of a product that enables it to accept responsibility for continued compliance of the product with the relevant requirements and undertakes all obligations in that connection.

3.19

IECEX Bulletin

bulletin, issued at intervals decided by the Ex Management Committee, containing detailed technical and procedural information about the IECEX Scheme.

3.20

IECEX Register

register, issued at intervals decided by the Ex Management Committee, containing information on all Accepted Certification Bodies and IECEX Assessment and Testing Laboratories and listing all IECEX Certificates of Conformity.

3.21

IECEX Newsletter

newsletter, issued at intervals decided by the Secretary of the Ex Management Committee, to promote the IECEX Scheme amongst users and prospective users of the Scheme and to inform users of significant developments of the Scheme.

4 Governing of the IECEX Scheme

The IECEX Scheme shall be governed by the Ex Management Committee (ExMC), whose responsibilities in this respect are defined in the Basic Rules of the IECEX Scheme, Publication IECEX 01.

This document, (IECEX 02) sets out the general rules and procedures of the IECEX Scheme. These general rules are supplemented by the Scheme's Operational Documents. These Operational Documents are available to all IECEX Member Bodies, ExCBs and ExTLs, including candidate ExCBs and ExTLs and to manufacturers that have applied for either an IECEX Certificate of Conformity, IECEX TR or IECEX QAR.

5 Principles of the IECEX Scheme

5.1 IECEX Certificate of Conformity (IECEX CoC)

The IECEX Scheme provides the means for manufacturers of Ex equipment to obtain certificates of conformity that are intended to be accepted in all participating countries as equivalent to their national certification. An IECEX CoC may also be accepted in other non-participating countries. An IECEX CoC may be obtained from any ExCB accepted into the Scheme. The certificate will attest that the equipment's design conforms to the relevant IEC standards and that the manufacturer is manufacturing the product under a quality system and associated quality plan(s), meeting the requirements of this Scheme and under the surveillance of an ExCB. The IECEX quality system requirements are based on ISO 9001, with additional requirements specific to the design, manufacture and testing of Ex equipment.

The IECEX CoC may be issued for a product with its variety of types, including different processes and electrical connections, different temperature classes, different types of protection, etc.

NOTE: It is intended that manufacturers holding certificates of conformity may affix the IECEX Mark of Conformity* to equipment that they have verified as complying with the certified design. The provision of an IECEX Mark of Conformity is under development

5.2 Method of Application

An application for a country to participate in the IECEx Scheme is made on a standard-by-standard basis by the candidate Member Body of the IECEx Scheme for that country. The application is made to the Secretary of the ExMC. Certification bodies and assessment and testing laboratories wishing to be accepted into the Scheme must reside in an IECEx participating country. Their application to be accepted is made through the Member Body of the IECEx Scheme for the country in which they reside.

5.3 Acceptance

Certification bodies and assessment and testing laboratories are accepted into the IECEx Scheme following satisfactory assessment of their competence by assessors appointed by the ExMC as providing adequate confidence to regulatory authority, user, manufacturer and certification body interests. Competence is judged by reference to ISO/IEC Guide 65 and ISO/IEC 17025 and IECEx Technical Guidance Documents.

5.4 Permissions

ExCBs that reside in an IECEx participating country are permitted to issue endorsed IECEx TRs, QARs and IECEx Certificates of Conformity.

5.5 Exchange of Certificates

ExCBs located in countries that do not accept IECEx Certificates of Conformity or whose national standards are not yet identical to the IEC standards, shall accept for review IECEx TRs and QARs for the purposes of issuing local national certification, thereby providing a “fast track” path to local or national certification.

ExTRs may cover national differences of the accepting country. An ExCB receiving an ExTR or QAR may review the documentation for completeness. Should the ExCB receiving an ExTR or QAR believe it to contain errors, the receiving ExCB shall contact the issuing ExCB before taking any action.

5.6 Objective

The final objective of the IECEx Scheme is worldwide acceptance of one standard, one certificate and one mark.

6 Confidentiality

All those participating in the IECEx 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 and ExTL.

7 Participating countries

7.1 Participation

In order for a country to participate in the IECEx Scheme, the candidate Member Body of the IECEx Scheme shall make an application to the Secretary of the ExMC in the form of Annex A.

7.2 National differences

The candidate Member Body of the IECEx Scheme shall specify national differences from the IEC standard(s) in the application.

7.3 Participating country

Once the ExMC has approved the application, the country shall be deemed to be a participating country.

7.4 Changes

The Member Body of the IECEX Scheme shall notify the ExMC of any changes in the national differences declared in its application.

7.5 Termination

The ExMC may terminate a country's participation in the IECEX Scheme if the Member Body of the country persists in a breach of these Rules after due warning by the ExMC to the Member Body of the IECEX Scheme.

7.6 Withdrawal

In the event of a country's ceasing to be a participating country, the ExCBs in that country shall lose the right to issue new IECEX Certificates of Conformity and ExTRs. IECEX Certificates of Conformity shall remain valid for a period of 6 months following which they shall be withdrawn.

ExTRs previously issued shall remain valid. QARs shall remain valid for a period of 6 months. Within this period the manufacturer shall seek an alternative ExCB that accepts to maintain the validity of the QARs

8 IECEX instruments

8.1 IECEX Certificate of Conformity

8.1.1 Issue

An IECEX Certificate of Conformity is issued by an ExCB, on the basis of an ExTR and QAR, certifying that the type of Ex equipment identified on the Certificate conforms in all relevant respects with the IEC standard(s) specified on the Certificate and that the manufacturer named on the Certificate manufactures the product under a quality system and associated quality plan(s) complying with the requirements of this Scheme, as a means of providing adequate confidence that the Ex equipment will be produced in conformity with the design of the certified equipment.

8.1.2 Layout

The ExMC shall decide on the layout and content of IECEX Certificates of Conformity

8.1.3 Contents

The IECEX Certificate of Conformity shall contain at least the following information:

- clear description of the Ex equipment,
- the name and address of the manufacturer
- the IEC Standard, edition and amendments, if any
- reference to the supporting ExTR
- Ex marking requirements
- Name of the issuing ExCB
- Conditions of safe use, if any
- List of certification drawings used to obtain the certification

8.2 IECEx Test Report (ExTR)

8.2.1 Preparation

An ExTR is prepared and issued by an ExTL but must be endorsed by an ExCB recording the product design assessment, examination and assessment and testing work carried out in order to verify the conformity of Ex equipment with the requirements of the stated standards. The ExMC shall develop and maintain standard ExTR blank forms for all Standards used in the IECEx Scheme. An allocated part of the front cover sheet of the ExTR or a separate sheet may be used by the ExCB for endorsing the ExTR.

8.2.2 Description of equipment

The ExTR shall contain a clear description of the Ex equipment or change to already certified equipment, the name and address of the applicant and the manufacturer and the edition of the IEC standard, and amendments, if any. It shall give, as far as necessary, for each clause of the relevant standard a brief reference to the requirements, and the results of tests and examinations. The ExTR shall also contain the information necessary for identification of the Ex equipment such as type designation, ratings, description and photographs.

8.2.3 Layout

The ExMC shall decide on the layout and content of ExTRs.

8.2.4 Issue

ExTRs are intended to be issued along with an IECEx QAR and IECEx CoC. An ExTR may be issued on its own without the issue of an IECEx CoC or QAR, providing the ExTR is endorsed by the ExCB associated with the ExTL. The ExTR may include evaluation of the Ex equipment for conformity with declared national differences, and may be used by other ExCBs when issuing their own national certification.

8.2.5 Restrictions

Because ExTRs are transitory documents used in the preparation of IECEx Certificates of Conformity, they shall not be used in any form of advertising or sales promotion in order that the information is not misrepresented.

8.2.6 Copies

When a copy of an ExTR is required, it shall be reproduced in its entirety.

8.2.7 Ensuring conformity

The manufacturer has the responsibility to ensure that all Ex equipment for which an IECEx Test Report (ExTR) is issued is in conformity with the design of the certified equipment. Failure to do so, and any other misuse of the ExTR could lead to suspension or withdrawal of the ExTR by the ExCB.

8.3 IECEx Quality Assessment Report

8.3.1 Content

A QAR is prepared and issued by an ExCB recording the assessment of a manufacturer's quality system for compliance with the Ex Quality system requirements of the IECEx Scheme, used to ensure the on-going compliance of Ex products with those characteristics that are covered by the ExTR. The assessment includes assessing conformity of the manufacturer's documented quality system with the requirements of the IECEx Scheme in addition to assessing the implementation of the quality system by the manufacturer. A QAR has a limited duration (3 years) and can be withdrawn or suspended if intermediate follow-up assessments are not satisfactory. ExCB shall pass a copy of the details of the QARs to the ExMC Secretary who shall maintain a central registry and list of QARs. The ExMC secretary shall be informed, without delay, of any suspension or withdrawal of QARs.

8.3.2 Layout

The ExMC shall prepare a document detailing quality requirements for the Scheme and the layout and content of QARs.

8.3.3 Issue

ExCBs may issue the QAR for the purpose of acceptance by other ExCBs in the national certification of the equipment. The QAR shall refer to a specific manufacturing site(s).

8.3.4 Restrictions

The QARs are documents used in the preparation of IECEx CoC and basis for on-going production, they shall not be used in any form of advertising or sales promotion in a way that the information maybe misrepresented.

8.3.5 Copies

When a copy of a QAR is required, it shall be reproduced in its entirety

8.4 IECEx Mark of Conformity*

Under development

9 Certification procedure

9.1 Applicant

An applicant may make an application for an IECEx Certificate of Conformity to any ExCB for the relevant standard(s). The applicant may be a manufacturer or may act on behalf of a manufacturer. In the latter case, evidence shall be submitted that the applicant is authorized to act on behalf of the manufacturer for the application and that the manufacturer undertakes to abide by the Rules and obligations of the IECEx Scheme. The Certificate shall be issued in the name of the manufacturer.

9.2 Documentation

The documentation submitted by the applicant shall accurately identify the Ex equipment for which certification is required, the standard(s) to which certification is to be granted, and the manufacturer responsible for the conformity of production items with the design of the certified equipment.

The documentation may be provided in paper form or electronic format. If electronic format is used, it shall be provided in a commonly used file format as determined by the ExMC, e.g. PDF or TIFF on a commonly used storage medium, e.g. 3.5" disk, CD-Rom, DVD-Rom

9.3 Samples

The applicant shall supply the documentation necessary to specify the explosion protection features of the Ex equipment. The applicant shall supply such samples of the Ex equipment as the ExCB deems necessary.

9.4 Examination

The ExCB shall arrange for its associated ExTL to examine the documentation and the sample(s) to verify that the Ex equipment design is in conformity with the standard(s). The ExTL shall examine the sample(s) for compliance with the documentation, test the sample(s) as specified in the standard(s) and compile an ExTR.

9.5 Assessment of Manufacturer's Quality System

The ExCB shall assess the conformity of the manufacturer's quality system and associated quality plan(s) relevant to the Ex equipment listed on the IECEX Certificate of Conformity with the requirements of the IECEX Scheme. In order to demonstrate how the quality system ensures that equipment is manufactured in conformity with the design of the certified equipment, the manufacturer shall provide the ExCB with a copy of a quality plan for the Ex equipment to be listed on the IECEX CoC. The manufacturer may provide evidence of the suitability of the quality system such as certification/registration to ISO 9001 by a competent body. The ExCB shall take the evidence into account when deciding the extent of the assessment that it needs to conduct. The assessment shall include an "onsite assessment" at the manufacturer's premises to confirm implementation of the quality system and associated quality plan(s). The ExCB shall issue an IECEX QAR.

9.6 Completion

Upon satisfactory completion of the work, the ExCB shall endorse the ExTR and QAR that together with an IECEX Certificate of Conformity shall be issued to the applicant, with a copy of each being retained by the ExCB. The manufacturer and the ExCB shall each retain a set of the documentation referred to in the certificate. The ExCB shall send a copy of the Certificate to the Secretary of the ExMC along with details of the ExTR and QAR.

9.7 Surveillance

The ExCB sign an agreement with the manufacturer to enable the ExCB to carry out, or arrange for another body to carry out on its behalf, periodic surveillance of the manufacturer's quality system and quality plan(s) which shall include onsite assessments at the manufacturer's premises as well as periodic examination and, if indicated to be necessary, assessment and testing of representative samples of certified Ex equipment. The frequency of such surveillance, inspection and assessment and testing shall be determined by the ExCB in accordance with the IECEX Scheme requirements and in light of the effectiveness of the manufacturer's quality plan(s). Such frequency shall take into account whether the manufacturer holds current ISO 9001 certification/registration by a competent body.

9.8 Changes

If the manufacturer wishes to make a change to the certified Ex equipment, he shall apply to the ExCB which granted the IECEX Certificate of Conformity, describing the change and the measures adopted to ensure continuing conformity with the relevant standard(s). The ExCB shall arrange for such work as is necessary to be carried out to verify that the Ex equipment incorporating the change will still conform to the standard(s). The ExCB shall issue an addendum to the Certificate authorizing the change. The ExMC shall specify the layout and content of the addendum. The ExMC shall determine the extent of the change that can be accommodated using an addendum to the original Certificate. An ExCB may determine that a major change(s) requires a new Certificate to be issued.

9.9 Ensuring conformity

The manufacturer has the responsibility to ensure that all Ex equipment to which the IECEX Mark of Conformity* is affixed and all Ex equipment that is described as "IECEX certified" is in conformity with the design of the certified equipment. Failure to do so, and any other misuse of the Mark, or IECEX Certificate of Conformity could lead to suspension or withdrawal of the IECEX Certificate of Conformity by the ExCB.

9.10 Documentation retained

In placing an application with an ExCB, the manufacturer authorises the ExCB to keep for future reference photographs, technical documentation and, by agreement with the applicant, samples or, for large equipment, parts of such equipment. Such reference material shall be confidential.

9.11 Surcharges

An applicant who is not in an IECEX participating country and an applicant acting on behalf of a manufacturer 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. The surcharge is to be collected by the ExCB handling the application, and remitted to the IECEX account.

9.12 Suspension or withdrawal

An IECEX Certificate of Conformity may be suspended or withdrawn by the issuing ExCB if

- it has been issued in error,
- the holder requests cancellation,
- it is used in a misleading way,
- the Ex equipment no longer corresponds to the design of the certified equipment, or
- the manufacturer's quality system and associated quality plan no longer provides adequate confidence that Ex equipment will be produced in conformity with the design of the certified equipment.

The ExCB shall give due notice to the manufacturer of such suspension or withdrawal and shall give the reason(s).

While a Certificate is suspended or when it has been withdrawn, the manufacturer shall no longer describe the Ex equipment as "IECEX certified", nor shall he affix the IECEX Mark of Conformity* to the Ex equipment. Equipment already supplied prior to the withdrawal of the Certificate is not affected.

9.13 Notification of withdrawal

When an IECEX Certificate of Conformity has been withdrawn, the issuing ExCB shall notify the Secretary of the ExMC as soon as possible. Withdrawal of Certificates shall be communicated to other ExCBs and published in the IECEX Bulletin.

10 Use of ExTRs and QARs for National Certification

10.1 General

For instances where separate national certification is required, the IECEx Scheme provides a fast track process through the acceptance of ExTRs and QARs. ExCBs shall accept, ExTRs and QARs issued by other ExCBs when issuing their own national certificates. This does not preclude a technical review by the receiving ExCB in accordance with ISO/IEC Guide 65. Any additional work carried out by the ExCB receiving an ExTR and QAR shall not go beyond the following, without first contacting the issuing ExCB:

- a) verify compliance with national differences from the IEC standards where those national differences have not been covered by the ExCB issuing the ExTR, and
- b) adequately identify that the Ex equipment submitted for certification is that which is the subject of the ExTR and
- c) verify compliance with national differences from IECEx reference document used for assessment of the quality system of the manufacturer where those national differences have not been covered by the ExCB issuing the QAR

10.2 National Certification

When an applicant applies to an ExCB for its national certification or approval of Ex equipment on the basis of an ExTR, a copy of the ExTR shall accompany the application. In addition, the ExCB may request a sample of the Ex equipment and copies of the documentation referred to in the report for the purposes specified in 10.1.

10.3 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, factory surveillance and payment of fees.

10.4 Invalid ExTR

The ExCB may refuse to recognize the ExTR when the standard(s) or the amendments or editions of the standard(s) according to which it was issued is (are) no longer valid in the country of the receiving ExCB. Such a change in validity shall have been notified in accordance with 7.4 and listed in the IECEx Bulletin as a national difference.

10.5 Appeals

Should the ExCB receiving an ExTR or QAR for recognition consider it to have been issued in error, the ExCB that issued the report shall be informed as soon as possible. If the ExCBs involved arrive at different conclusions, the case may be referred to the Board of Appeal. Should a manufacturer or applicant be refused the issuing of an ExTR, QAR or CoC or be the subject of suspension, withdrawal or cancellation of an IECEx CoC and disagree with this decision may lodge an appeal to the IECEx Board of Appeals.

11 Acceptance of certification bodies and testing laboratories

NOTE—When an application is made for acceptance of a certification body that intends to employ already accepted IECEx ExTLs, assessment is made according to this clause. Applications for acceptance of a certification body and an associated assessment and testing laboratory may be submitted together or as one combined application, and assessment according to 11.1 and 11.2 may be combined.

11.1 Acceptance of certification bodies

11.1.1 Conditions for acceptance

A certification body shall be accepted as an ExCB by the ExMC and given the right to issue IECEX Certificates of Conformity, ExTRs and QARs to specified standards, under the following conditions and according to the procedures stipulated in 11.1.2 to 11.1.14:

- a) the certification body shall be located in a participating country;
- b) the certification body shall operate a recognized certification or approval scheme at national level for the specified types of protection;
- c) the competence of the certification body to comply with these Rules shall be demonstrated by assessment. 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 as well as compliance with ISO/IEC 65 shall be assessed. Acceptance in another IEC Scheme or accreditation by a recognized national accreditation body shall be taken into account. In those cases, the ExMC shall decide upon the extent of the assessment that is necessary;
- d) the certification body shall have within its organization, or have an agreement to employ, an ExTL accepted by the ExMC according to these Rules for the relevant types of protection.

11.1.2 Application

The candidate certification body, via the national Member Body of the IECEX Scheme, shall make an application for the acceptance of a certification body for one or more standards accepted for use in the IECEX Scheme.

The application shall be submitted to the Secretary of the ExMC and shall be accompanied by a declaration as detailed in Annex B.

Where, separate national certification or approval is required in a country as a condition to supply a product for use in that country, the candidate certification body shall declare that the national certification or approval can be based on an ExTR. When national differences or other conditions have to be fulfilled, they shall be as declared by the Member Body of the IECEX Scheme and published in the IECEX Bulletin. There shall not be more than one set of national differences for each country.

11.1.3 Recognition of ExTRs

The candidate certification body shall communicate the following information relevant to the recognition of ExTRs to the Secretary of the ExMC:

- written information on procedures and rules for certification or approval at national level;
- whether or not a foreign manufacturer is required to make application for certification or approval through a representative resident in that country.

11.1.4 Assessment

The candidate certification body shall be assessed to determine that the conditions according to 11.1.1 are fulfilled. Three assessors appointed by the ExMC shall carry out the assessment. The assessment team shall be led by a Lead Assessor appointed by the ExMC and shall include at least one member drawn from an ExCB.

When an assessment and testing laboratory is to be assessed on the same occasion, the assessment team shall include a member from an ExTL.

The candidate shall be given the names and current appointments of the assessors proposed to be appointed by the ExMC. Candidates may object "for cause" (reasons to be stated) to the appointment of the assessors.

The candidate to be assessed shall express its willingness to pay the professional fees of the assessors, the amount to be decided by the ExMC, and the 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.

IECEX Assessment Teams shall report to the Secretary of the ExMC who shall manage all assessments, including the appointment of assessors, to ensure assessments are carried out in a timely manner and in accordance with the requirements of the Scheme.

11.1.5 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.

11.1.6 Report to ExMC

The assessors shall submit to the ExMC, with a copy to the representatives of the candidate certification body, a confidential report containing their findings and recommendations, taking into account the declaration submitted together with the application. The candidate may attend an ExMC meeting or submit written comments in order to respond to enquiries regarding its application.

11.1.7 Acceptance

The ExMC shall decide upon the acceptance of the candidate certification body at a 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.

11.1.8 Notification

If the decision of the ExMC is positive, the Secretary of the ExMC shall inform the candidate certification body in writing.

If the decision of the ExMC is negative, the Chairman 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.

11.1.9 Changes

Each ExCB shall inform the Secretary of the ExMC about changes in the information given according to 11.1.2 and 11.1.3.

11.1.10 Extension of scope

When an ExCB wishes to extend its acceptance to further standards accepted for use in the IECEX Scheme, an application shall be made to the Secretary of the ExMC via the Member Body of the IECEX Scheme. When the ExCB has been assessed within the last five years, the members of the Assessment Team that assessed the ExCB should give their comments on the application.

The ExMC shall decide whether the extension can be accepted on the basis of the information thus available, or whether a full or limited assessment will be needed.

The matter shall either be submitted to a meeting of the ExMC for decision or handled according to 11.1.11.

11.1.11 Reporting of decisions

The ExMC may delegate the decisions according to 11.1.10 to the Chairman and Vice-Chairman of the ExMC to be made by correspondence between meetings. Such a decision shall be reported to the next meeting of the ExMC and recorded in the minutes.

11.1.12 Re-assessment

By means of re-assessment to the extent and frequency deemed necessary, the ExMC shall verify whether ExCBs are still fulfilling the conditions of 11.1.1.

11.1.13 Withdrawal

An ExCB wishing to withdraw from the IECEX Scheme shall notify the Secretary of the ExMC via the Member Body of the IECEX 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.

11.1.14 Suspension

The acceptance of an ExCB may be suspended or withdrawn by the ExMC if that ExCB no longer fulfils the conditions of 11.1.1 or if in the opinion of the ExMC, the ExCB hampers the aim, operation or development of the IECEX Scheme, fails to take action regarding misuse of IECEX Certificates of Conformity or the IECEX Mark of Conformity*, 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 require agreement at a meeting of the ExMC by a majority of at least four fifths of the total number of members. Members not attending that meeting shall have the right to cast their vote in writing by registered mail to the Secretary of the ExMC prior to the meeting.

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

11.2 Acceptance of Ex testing laboratories

NOTE Applications for acceptance of a certification body and an associated assessment and testing laboratory may be submitted independently or as one combined application, in which case assessment according to 11.1 and 11.2 may be combined.

11.2.1 Conditions for acceptance

Acceptance of an Ex testing laboratory as an ExTL is subject to the following conditions and to the procedures stipulated in 11.2.2 to 11.2.11:

- a) the Ex testing laboratory shall be located in a participating country;
- b) an Ex testing laboratory can operate as an ExTL if it is integral with an ExCB, under the complete technical and legal control of an ExCB or has a written agreement with an ExCB to undertake work with it according to these Rules;
- c) the competence of the assessment and testing laboratory shall be demonstrated by assessment. The general competence, efficiency, experience, familiarity with the relevant standards and the types of protection included in those standards as well as compliance with ISO/IEC 17025 and the IECEX Technical Guidance Documents shall be assessed. Acceptance in another IEC Scheme or accreditation by a recognized national accreditation body shall be taken into account. The ExMC shall decide upon the extent of the assessment that is necessary.

11.2.2 Application

An application for the acceptance of a laboratory as an ExTL for assessment and testing according to one or more standards accepted for use in the IECEX Scheme shall be made by the candidate assessment and testing laboratory, via the Member Body of the IECEX Scheme.

The application shall be submitted to the Secretary of the ExMC and shall be accompanied by a declaration as detailed in Annex C.

11.2.3 Assessment

The candidate assessment and testing laboratory shall be assessed to determine that the conditions according to 11.2.1 are fulfilled. Three assessors appointed by the ExMC shall carry out the assessment. The assessment team shall be led by a Lead Assessor appointed by the ExMC and shall include one member from an ExCB and one member from an ExTL.

When the laboratory is integral with a candidate certification body, or is to be assessed on the same occasion as a candidate certification body, a combined assessment team of three persons may be appointed.

The candidate shall be given the names and current appointments of the assessors proposed to be appointed by the ExMC. Candidates may object "for cause" (reasons to be stated) to the appointment of the assessors.

The laboratory to be assessed shall express its willingness to pay the professional fees of the assessors, the amount to be decided by the ExMC, and the 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.

The Secretary of the ExMC shall manage the assessment process, including the appointment of assessors.

11.2.4 Resolution of differences

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

11.2.5 Report to ExMC

The assessors shall submit to the ExMC Secretary, with a copy to the representatives of the candidate assessment and testing laboratory, a confidential report containing their findings and recommendations, taking into account 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.

11.2.6 Acceptance

The ExMC shall decide upon the acceptance of the candidate Ex testing laboratory at a 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.

11.2.7 Notification

If the decision of the ExMC is positive, the Secretary of the ExMC shall inform the candidate assessment and testing laboratory in writing. If the decision of the ExMC is negative, the Chairman of the ExMC may, depending on the findings, suggest to the candidate assessment and testing laboratory

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

11.2.8 Extension of scope

When an ExTL wishes to extend its acceptance to further standards accepted for use in the IECEx Scheme, an application shall be made to the Secretary of the ExMC via the Member Body of the IECEx Scheme. When the ExTL has been assessed within the last five years, the members of the Assessment Team that assessed the ExTL should give their comments on the application.

The ExMC shall decide whether the extension can be given on the basis of the information thus available, or whether a full or limited assessment will be needed.

The matter shall be submitted to the ExMC for decision at a meeting or handled according to 11.2.9.

11.2.9 Reporting on decisions

The ExMC may delegate the decisions according to 11.2.8 to the Chairman and Vice-Chairman of the ExMC to be made by correspondence between meetings. Such a decision shall be reported to the next meeting of the ExMC and recorded in the minutes.

11.2.10 Re-assessment

By means of re-assessment and comparative assessment and testing to the extent and frequency deemed necessary, the ExMC shall verify whether the ExTLs are still fulfilling the conditions of 11.2.1.

11.2.11 Suspension

The acceptance of an ExTL may be suspended or withdrawn by the ExMC if that ExTL no longer fulfils the conditions of 11.2.1 or if it violates these Rules. Before such a recommendation is made, the ExTL shall have the opportunity to take corrective action over a period of six months and state its own opinion on the matter.

In case of a suspension or a withdrawal, the assessment and testing laboratory in question shall not be allowed to claim any relationship with the IECEx Scheme.

11.2.12 ExTR Review

As a means of ensuring confidence, among Scheme Members, newly accepted ExTLs shall submit a copy of the first completed ExTR to the ExMC Secretary who will arrange for it to be reviewed. The outcome of this review may require corrective actions to be undertaken by the ExTL and review of further ExTRs.

12 IECEx publications

12.1 Types of publications

Three publications shall be produced:

- the IECEx Register;
- the IECEx Bulletin;
- the IECEx Newsletter.

NOTE The ExMC may decide to issue the publications in electronic format and may be contained within an IECEx Internet Website. The Register and Bulletin may be produced as one publication.

12.2 Information to be available

The following information shall be made readily available, to the public.

- ExCBs and ExTLs,
- manufacturers holding IECEx Certificates of Conformity,
- IECEx Certificates of Conformity issued,
- categories of Ex equipment covered by the IECEx Scheme, and
- standards accepted for use in the IECEx Scheme.

12.3 IECEx Bulletin

The IECEx Bulletin shall be issued at intervals decided by the ExMC. It shall contain information on

- the standards for which ExCBs in each country have declared recognition of ExTRs,
- national differences for each standard and country as declared by the Member Bodies of the IECEx Scheme,
- important rules in addition to the content of the standards which have to be fulfilled in the countries,
- the standards for which ExCBs in each country are authorized to issue IECEx Certificates of Conformity,
- the operation of the IECEx Scheme, to assist the applicants, and IECEx Certificates of Conformity withdrawn.

12.4 IECEx Newsletter

The IECEx Newsletter shall be used to publicise developments within the IECEx Scheme, including new ExCBs and ExTLs joining the IECEx Scheme, matters relating to relevant IEC standards and changes in the Rules.

12.5 Source of information

The information published in the IECEx publications is based on information given by the Member Bodies of the IECEx Scheme, ExCBs and ExTLs. Neither the IEC nor the Secretary of the ExMC is therefore liable for the accuracy of that information. Publication of commercial information shall be avoided.

13 Complaints

If there are complaints concerning the actions of an ExCB or an ExTL that the ExMC cannot resolve, the ExMC or the complainant shall have the right to request the CAB to take appropriate action.

Annex A (normative)

Application from a candidate Member Body of the IECEx Scheme to become a participating country in the IECEx Scheme

The application from a candidate Member Body of the IECEx for its country to become a participating country in the IECEx Scheme shall be a self-contained document including the following information:

- a) the name of the country;
- b) the name and address of the candidate Member Body of the IECEx Scheme;
- c) the legal status of the candidate Member Body of the IECEx Scheme;
- d) the IEC standard(s) for which participation is sought;
- e) the national standard(s) corresponding to the IEC standard(s) listed in d);
- f) any national differences from the IEC standard(s);
- g) whether or not IECEx Certificates of Conformity are accepted in the country;
- h) details of any national differences to the IEC Standards, covered by the IECEx Scheme and details of any national certification or approval that may be required in addition to an IECEx CoC;
- i) an undertaking that the applicant will abide by the Rules and use its best endeavours to assist in the achievement of the aims and objectives of the IECEx Scheme.:
- j) Annex F contains a copy of ExMC/46B/Q *IECEX Application to become a participating country in the IECEx Scheme*.

Annex B

(normative)

Declaration by a certification body applying to become an Ex Certification Body

The declaration by a certification body applying to become an Ex Certification Body (ExCB) 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 carries out its operations,
 - the means by which the body will demonstrate compliance with ISO/IEC Guides 62 and 65,
 - the legal relationship between the body and the assessment and testing laboratory(ies) used in the course of its work (including the case where the assessment and testing laboratory is integral with the certification body),
 - the responsibilities at national level concerning certification, and the schemes operated,
 - the arrangements for appeal,
 - the arrangements for recognition of IECEx Certificates of Conformity, IECEx Test Reports (ExTRs) and IECEx Quality Assessment Reports (QARs) when issuing its own national or regional certificates.
 - the documents available for providing supporting information, for example with regard to existing accreditation;
 - Details of Senior Management with competence in the certification of Ex equipment
- b) a list of the standards accepted for use in the IECEx Scheme according to which the body wishes to issue IECEx Certificates of Conformity;
- c) a statement that the body will recognize ExTRs and QARs produced by other ExCBs when issuing its national or regional certificates or approvals;
- d) a list of the standards accepted for use in the IECEx Scheme, including details of the edition and amendments if any, which are accepted in whole or in part by the body when issuing its national or regional certificates or approvals. Where national differences from the standards exist, these shall be declared for later publication in the IECEx Bulletin;
- e) a statement of the number of certificates issued in the preceding two years for each type of protection covered by the standards listed in b) and d);
- f) a statement that the body will abide by the Rules.
- g) Annex F contains a copy of ExMC/47B/Q *IECEX Application to become an Ex Certification Body in the IECEx Scheme*.

Annex C (normative)

Declaration by an assessment and testing laboratory applying for acceptance as an IECEx Testing Laboratory

The declaration by an assessment and testing laboratory applying for acceptance as an IECEx Assessment and Testing Laboratory shall be a self-contained document including the following information:

- a) a description of the laboratory, which gives, in addition to an organization chart, information about
 - relationship between the laboratory and the relevant Ex Certification Body or Accepted Certification Bodies,
 - the legal status of the laboratory,
 - the address(es) at which it carries out its operations,
 - the responsibilities concerning assessment and testing,
 - the means by which the laboratory will demonstrate compliance with ISO/IEC 17025, and
 - the documents available for providing supporting information, for example with regard to existing accreditation;
- b) a list of the standards accepted for use in the IECEx Scheme according to which the laboratory intends to conduct tests;
- c) the information required in annex D;
- d) a statement of the number of test reports issued in the preceding two years for each type of protection covered by the standards listed in b);
- e) a statement that the laboratory will abide by the Rules.
- f) Annex F contains a copy of ExMC/48B/Q *Application for a testing laboratory to become accepted as an IECEx Testing Laboratory in the IECEx Scheme*

Annex D

(normative)

Additional Information to be provided by an assessment and testing laboratory in applying for acceptance

NOTE 1 The text of this annex is taken from the annex to ISO/IEC Guide 38 1983 which is now obsolete.

NOTE 2 Throughout the text, the word "recognition" should be taken to mean "acceptance" in the context of the IECEX Scheme.

D.1 ExTL Contact details

Applicant's name and address:

Telephone No:

Telefax No:

D.2 ExTL site contact details

Test Laboratory* name and address (if different from paragraph 1):

Telephone No:

Telefax No:

D.3 Senior management

D.3.1 Senior Executives

Names and titles of the senior executives of the Test Laboratory* and of the assessment and testing laboratories for which recognition is being sought:

D.3.2 Quality management system representatives

Name and title of the person responsible for the Quality Management System in the assessment and testing laboratory:

D.3.3 Principal contact

Name and title of the principal contact nominated by the assessment and testing laboratory, and of his deputy:

D.3.4 Organisation chart

Operating departments of the assessment and testing laboratory for which recognition is being sought. (Show on a separate sheet to be attached either as a list or as an organization chart of the Test Laboratory.)

D.4 Employees

D.4.1 Total numbers

Total number in Test Laboratory

D.4.2 Ex test personnel

Total number in assessment and testing laboratory for which recognition is being sought:

D.4.3 Professional qualifications

Total number of professionally qualified staff (see also ISO/IEC 17025) in the area for which recognition is being sought:

D.5 Equipment

List on a separate sheet the major items of test equipment available for use in the area for which recognition is being sought.

D.6 Test facilities and services

D.6.1 Testing services

List on a separate sheet the assessment and testing services for which recognition is being sought, indicating for each service any limits between which it will operate, and the published specifications against which the assessment and testing will be performed.

D.6.2 Existing recognitions

If recognition by other bodies or authorities is held in the area for which recognition is being sought, please give details.

D.6.3 Subcontract work

What type of assessment and testing is to be subcontracted in respect of the recognition being sought?

* "Test Laboratory" refers here to the corporate entity having final authority over the "assessment and testing laboratory" seeking recognition. In some cases this may be the same body.

D.7 Other information

D.7.1 Relations with other organisations

Document, where applicable, how the assessment and testing laboratory may be related to external organizations or to components within its own parent organization.

D.7.2 Other information

Give any other information which you consider could be of assistance to the assessment team (on a separate sheet if necessary).

Yes/No	Particulars (where appropriate)
--------	------------------------------------

D.8 Quality Management Policy

D.8.1 Quality policy

Are policy and procedures for the operation of the assessment and testing laboratory contained in a document such as a Quality Manual?

D.8.2 Responsibility and authority

Has the person responsible for quality management the responsibility and authority to identify quality problems and initiate effective solutions?

D.8.3 Unqualified staff

Does the Quality Manual contain procedures for the supervision of any unqualified staff (see also ISO/IEC 17025)?

D.8.4 Internal audits

Is there a prescribed audit procedure for checking quality management functions?

D.9 Work instructions**D.9.1 Access to documentation**

Are manuals, work instructions and regulations to be used by staff readily available?

D.9.2 Change management

Is there a system for updating, implementing and recording changes to these documents?

D.9.3 Process control

Are documents available for each assessment and testing operation?

D.9.4 Document and data control

Are documents and reference data maintained in an up-to-date condition?

D.9.5 Obsolete data

Is obsolete data promptly removed from documents, etc.?

D.10 Personnel**D.10.1 Professional standards**

Have standards of professional ability, skills and job descriptions been prescribed where necessary?

D.10.2 Training

Are training methods applied to attain and maintain skills with due attention to quality requirements?

D.11 Test equipment and calibration**D.11.1 Accuracy of measurements**

Does the Quality Management System specify that the equipment is of accuracy compatible with the assessment and testing undertaken?

D.11.2 List of test equipment and calibration status

Is a record maintained of all test equipment, including calibration results?

D.11.3 Test environment

Are facilities and appropriate environments provided for calibration, handling, control, storage and maintenance of all assessment and testing and measuring equipment?

D.11.4 Calibration procedures

Are there documented procedures for calibrating all equipment and reference standards, which include method, periodicity, sealing after calibration, etc.?

If not, explain calibration system used:

D.11.5 Reference standards

Are reference standards used for calibration traceable to national or international standards of measurement?

D.12 Test procedures

D.12.1

Are test methods and procedures recorded which are not called up in specifications, manuals, etc.?

Yes/No	Particulars (where appropriate)
--------	------------------------------------

D.12.2

Are the environments in which tests are conducted and results recorded suitable to ensure their accuracy?

D.12.3

Do environmental test facilities exist?

D.12.4

Is there control of access to the assessment and testing areas?

D.12.5

Is there a prescribed system for detecting deficiencies in assessment and testing and their causes, and for correcting unfavourable trends?

D.13 Handling and storage

D.13.1

Are work and inspection instructions prescribed and implemented for the handling, storage and return to the client of materials and samples?

D.13.2

Are appropriate storage areas arranged to prevent deterioration or damage to the products concerned?

D.13.3

Are storage methods prescribed, including special environments?

D.13.4

Are there procedures for the inspection of samples in storage?

D.13.5

Are storage areas accessible only to authorized persons?

D.13.6

Is provision made to ensure that all samples to be stored or returned to the client are adequately identified and labelled?

D.14 Records**D.14.1**

Is there a prescribed system for recording the method and results of assessment and testing activities?

D.14.2

Are observations and calculations recorded and stored as to provide a permanent test record?

D.14.3

Are there arrangements for ensuring that records are current, complete, accurate and held confidential where required?

D.15 Test reports**D.15.1**

Do test reports contain all the information required for such by ISO/IEC 17025?

D.15.2

Is the assessment and testing laboratory prepared to make arrangements to send copies of test reports to the body granting recognition, where required, on a strictly confidential basis?

D.16 Preparedness for assessment**D.16.1**

Are you satisfied that you can meet all the requirements prescribed herein?

D.16.2

At what date will the assessment and testing laboratory be ready for assessment?

D.16.3

Is there any special urgency for assessment?

If so, what is the reason?

Applicant's name:.....

Signature of person authorized to sign for the Applicant:.....

(Title).....

Date:

Application for assessment as a recognized assessment and testing laboratory

Name of applicant:	Name and address of assessment and testing laboratory if different:
Address:	
Name of contact:	Name of contact:
Title:	Title:
Test or series of tests for which recognition is sought:	
<p>The assessment and testing laboratory hereby agrees to undertake:</p> <p>a) to conform to the requirements for a recognized assessment and testing laboratory;</p> <p>b) to pay all costs connected with assessment and administration in the pre-recognition stage irrespective of whether or not recognition is granted.</p>	
<p>Signed:</p> <p>..... (Title)</p> <p>Date:</p>	

Annex F
(normative)

Member Body, ExCB and ExTL application forms

This Annex contains copies of the following application forms –

ExMC/46B/Q IECEx *Application to become a participating country in the IECEx Scheme.*

ExMC/47B/Q IECEx *Application to become an Ex Certification Body in the IECEx Scheme.*

ExMC/48B/Q IECEx *Application for a testing laboratory to become accepted as an IECEx Testing Laboratory in the IECEx Scheme*

ExMC/46B/Q

Mr C Agius
 Secretary Ex MC
 286 Sussex Street
 Sydney NSW 2000
 Australia
 Tel: +61 2 8206 6940
 Fax: +61 2 8206 6272
 Email: chris.agius@iecex.com

Date:

Reference:

For the attention of the Secretary of the IEC Ex Management Committee

Application to become a participating country in the Scheme of the IECEx for Certification to Standards for Electrical Equipment for Explosive Atmospheres (IECEX Scheme)

The following application is made in accordance with Clause 7 and annex A of Publication IECEx 02:

- a) name of the country.....
- b) name and address of the Member Body of the IECEx
- c) legal status of the Member Body of the IECEx within the country
- d) IEC standard(s) for which participation is sought (tick one or more for the following IEC standards):

Number	Title
60079-0	Electrical apparatus for explosive gas atmospheres – Part 0: General requirements
60079-1	Electrical apparatus for explosive gas atmospheres – Part 1: Construction and verification test of flameproof enclosures of electrical apparatus
60079-2	Electrical apparatus for explosive gas atmospheres – Part 2: Electrical apparatus, type of protection 'p' (Pressurization)
60079-5	Electrical apparatus for explosive gas atmospheres – Part 5: Powder filling 'q'
60079-6	Electrical apparatus for explosive gas atmospheres – Part 6: Oil-immersion 'o'
60079-7	Electrical apparatus for explosive gas atmospheres –Part 7: Increased safety 'e'

Number	Title
60079-11	Electrical apparatus for explosive gas atmospheres – Part 11: Intrinsic safety 'i'
60079-15	Electrical apparatus for explosive gas atmospheres – Part 15: Electrical apparatus with type of protection 'n' (Non-Sparking)
60079-18	Electrical apparatus for explosive gas atmospheres – Part 18: Encapsulation 'm'
61241-1-1	Electrical apparatus for use in the presence of combustible dust – Part 1: Electrical apparatus protected by enclosures – Section 1: Specification for apparatus
61779-1	Electrical apparatus for the detection and measurement of flammable gases – Part 1: General requirements and test methods
61779-2	Electrical apparatus for the detection and measurement of flammable gases – Part 2: Performance requirements for group I apparatus indicating a volume fraction up to 5% methane in air
61779-3	Electrical apparatus for the detection and measurement of flammable gases – Part 3: Performance requirements for group I apparatus indicating a volume fraction up to 100% methane in air
61779-4	Electrical apparatus for the detection and measurement of flammable gases – Part 4: Performance requirements for group II apparatus indicating up to 100% lower explosive limit
61779-5	Electrical apparatus for the detection and measurement of flammable gases – Part 5: Performance requirements for group II apparatus indicating a volume fraction up to 100% gas

e) the national standard(s) corresponding to the IEC standard(s) ticked off in d):

Number	Title	Corresponding National Standard
60079-0	Electrical apparatus for explosive gas atmospheres Part 0: General requirements	
60079-1	Electrical apparatus for explosive gas atmospheres Part 1: Construction and verification test of flameproof enclosures of electrical apparatus	
60079-2	Electrical apparatus for explosive gas atmospheres Part 2: Electrical apparatus, type of protection 'p' (Pressurization)	
60079-5	Electrical apparatus for explosive gas atmospheres Part 5: Powder filling "q"	

Number	Title	Corresponding National Standard
60079-6	Electrical apparatus for explosive gas atmospheres Part 6: Oil-immersion 'o'	
60079-7	Electrical apparatus for explosive gas atmospheres Part 7: Increased safety 'e'	
60079-11	Electrical apparatus for explosive gas atmospheres Part 11: Intrinsic safety 'i'	
60079-15	Electrical apparatus for explosive gas atmospheres Part 15: Electrical apparatus with type of protection 'n' (Non-Sparking)	
60079-18	Electrical apparatus for explosive gas atmospheres Part 18: Encapsulation 'm'	
61241-1-1	Electrical apparatus for use in the presence of combustible dust – Part 1: Electrical apparatus protected by enclosures – Section 1: Specification for apparatus	
61779-1	Electrical apparatus for the detection and measurement of flammable gases – Part 1: General requirements and test methods	
61779-2	Electrical apparatus for the detection and measurement of flammable gases – Part 2: Performance requirements for group I apparatus indicating a volume fraction up to 5% methane in air	
61779-3	Electrical apparatus for the detection and measurement of flammable gases – Part 3: Performance requirements for group I apparatus indicating a volume fraction up to 100% methane in air	
61779-4	Electrical apparatus for the detection and measurement of flammable gases – Part 4: Performance requirements for group II apparatus indicating up to 100% lower explosive limit	
61779-5	Electrical apparatus for the detection and measurement of flammable gases – Part 5: Performance requirements for group II apparatus indicating a volume fraction up to 100% gas	

f) any national differences from the IEC standard(s) (use a separate page or pages if necessary to list national differences)

g) whether or not IECEX Certificates of Conformity are accepted in the country

The IECEX Member Body undertakes to abide by the Rules and Procedures laid down in Publication IECEX 02 and to use its best endeavours to assist in the achievement of the aims and objectives of the IECEX Scheme

Signature:

Name:

Date:

ExMC/47B/Q



Mr C Agius
Secretary ExMC
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Australia
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Fax: +61 2 8206 6272
Email: chris.agius@iecex.com

Date:

Reference:

For the attention of the Secretary of the IEC Ex Management Committee.

Application for a certification body to become an Ex Certification Body in the Scheme of the IECEx for Certification to Standards for Electrical Equipment for Explosive Atmospheres (IECEX Scheme).

The IECEx Member Body of (name of country).....
makes the following application in accordance with 11.1.2, 11.1.3 and annex B of Publication IECEx 02

a) description of the certification body

- name of the body
- organisation chart (use a separate page or pages)
- the legal status of the body
- the address(es) at which it carries out its operations
- the means by which the body will demonstrate compliance with ISO/IEC Guide 65
- the legal relationship between the body and the testing laboratory(ies) used in the course of its work (including the case where the testing laboratory is integral with the certification body)
- the responsibilities at national level concerning certification, and the schemes operated
- the arrangements for appeal
- the arrangements for recognition of IECEx Test Reports (ExTRs) when issuing its own national or regional certificates.
- the documents available for providing supporting information, for example with regard to existing accreditation

- b) a list of the standards accepted for use in the IECEx Scheme according to which the body wishes to issue IECEx Certificates of Conformity or ExTRs (tick one or more of the following IEC standards):

Number	Title
60079-0	Electrical apparatus for explosive gas atmospheres – Part 0: General requirements
60079-1	Electrical apparatus for explosive gas atmospheres – Part 1: Construction and verification test of flameproof enclosures of electrical apparatus
60079-2	Electrical apparatus for explosive gas atmospheres – Part 2: Electrical apparatus, type of protection 'p' (Pressurization)
60079-5	Electrical apparatus for explosive gas atmospheres – Part 5: Powder filling 'q'
60079-6	Electrical apparatus for explosive gas atmospheres – Part 6: Oil-immersion 'o'
60079-7	Electrical apparatus for explosive gas atmospheres – Part 7: Increased safety 'e'
60079-11	Electrical apparatus for explosive gas atmospheres – Part 11: Intrinsic safety 'i'
60079-15	Electrical apparatus for explosive gas atmospheres – Part 15: Electrical apparatus with type of protection 'n' (Non-Sparking)
60079-18	Electrical apparatus for explosive gas atmospheres – Part 18: Encapsulation 'm'
61241-1-1	Electrical apparatus for use in the presence of combustible dust – Part 1: Electrical apparatus protected by enclosures – Section 1: Specification for apparatus
61779-1	Electrical apparatus for the detection and measurement of flammable gases – Part 1: General requirements and test methods
61779-2	Electrical apparatus for the detection and measurement of flammable gases – Part 2: Performance requirements for group I apparatus indicating a volume fraction up to 5% methane in air
61779-3	Electrical apparatus for the detection and measurement of flammable gases – Part 3: Performance requirements for group I apparatus indicating a volume fraction up to 100% methane in air

Number	Title
61779-4	Electrical apparatus for the detection and measurement of flammable gases – Part 4: Performance requirements for group II apparatus indicating up to 100% lower explosive limit
61779-5	Electrical apparatus for the detection and measurement of flammable gases – Part 5: Performance requirements for group II apparatus indicating a volume fraction up to 100% gas

- c) the body hereby states that it will accept ExTRs produced by other ExCBs when issuing its national or regional certificates or approvals.
- d) a list of the standards accepted for use in the IECEx Scheme, including details of the edition and amendments if any, which are accepted in whole or in part by the body when issuing its national or regional certificates or approvals. Where national differences from the standards exist, these shall be declared for later publication in the IECEx Bulletin (use a separate page or pages if necessary to list national differences) (tick one or more of the lines following):

Number	Title	Edition	Amdt
60079-0	Electrical apparatus for explosive gas atmospheres Part 0: General requirements		
60079-1	Electrical apparatus for explosive gas atmospheres Part 1: Construction and verification test of flameproof enclosures of electrical apparatus		
60079-2	Electrical apparatus for explosive gas atmospheres Part 2: Electrical apparatus, type of protection 'p' (Pressurization)		
60079-5	Electrical apparatus for explosive gas atmospheres Part 5: Powder filling 'q'		
60079-6	Electrical apparatus for explosive gas atmospheres Part 6: Oil-immersion 'o'		
60079-7	Electrical apparatus for explosive gas atmospheres Part 7: Increased safety 'e'		
60079-11	Electrical apparatus for explosive gas atmospheres Part 11: Intrinsic safety 'i'		
60079-15	Electrical apparatus for explosive gas atmospheres Part 15: Electrical apparatus with type of protection 'n' (Non-Sparking)		
60079-18	Electrical apparatus for explosive gas atmospheres Part 18: Encapsulation 'm'		
61241-1-1	Electrical apparatus for use in the presence of combustible dust – Part 1: Electrical apparatus protected by enclosures – Section 1: Specification for apparatus		
61779-1	Electrical apparatus for the detection and measurement of flammable gases – Part 1: General requirements and test methods		

Number	Title	Edition	Amdt
61779-2	Electrical apparatus for the detection and measurement of flammable gases – Part 2: Performance requirements for group I apparatus indicating a volume fraction up to 5% methane in air		
61779-3	Electrical apparatus for the detection and measurement of flammable gases – Part 3: Performance requirements for group I apparatus indicating a volume fraction up to 100% methane in air		
61779-4	Electrical apparatus for the detection and measurement of flammable gases – Part 4: Performance requirements for group II apparatus indicating up to 100% lower explosive limit		
61779-5	Electrical apparatus for the detection and measurement of flammable gases – Part 5: Performance requirements for group II apparatus indicating a volume fraction up to 100% gas		

- e) number of certificates issued in the preceding two years for each type of protection covered by the standards listed in b) and d)

The certification body undertakes to abide by the Rules and Procedures laid down in Publication IECEx 01 and IECEx 02

(signature)

(name)

(role)

(date)

Enclosed pages concerning the national differences declared in accordance with paragraph d).

ExMC/48B/Q



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Date:

Reference:

For the attention of the Secretary of the IEC Ex Management Committee.

Application for a testing laboratory to become accepted as an IECEx Testing Laboratory in the Scheme of the IECEx for Certification to Standards for Electrical Equipment for Explosive Atmospheres (IECEX Scheme).

The IECEx Member Body of (name of the country)..... makes the following application in accordance with 11.2.2 and annex C of Publication IECEx 02

a) Description of the testing laboratory

- name of the laboratory
- organisation chart (use a separate page or pages)
- relationship between the laboratory and the relevant Ex Certification Body or Ex Certification Bodies
- the legal status of the laboratory
- the address(es) at which it carries out its operations
- the responsibilities concerning testing
- the means by which the laboratory will demonstrate compliance with ISO/IEC Guide 17025
- the documents available for providing supporting information, for example with regard to existing accreditation

- b) a list of the standards accepted for use in the IECEx Scheme according to which the laboratory intends to conduct tests (tick one or more of the following IEC standards):

Number	Title
60079-0	Electrical apparatus for explosive gas atmospheres – Part 0: General requirements
60079-1	Electrical apparatus for explosive gas atmospheres – Part 1: Construction and verification test of flameproof enclosures of electrical apparatus
60079-2	Electrical apparatus for explosive gas atmospheres – Part 2: Electrical apparatus, type of protection 'p' (Pressurization)
60079-5	Electrical apparatus for explosive gas atmospheres – Part 5: Powder filling "q"
60079-6	Electrical apparatus for explosive gas atmospheres – Part 6: Oil-immersion 'o'
60079-7	Electrical apparatus for explosive gas atmospheres – Part 7: Increased safety 'e'
60079-11	Electrical apparatus for explosive gas atmospheres – Part 11: Intrinsic safety 'i'
60079-15	Electrical apparatus for explosive gas atmospheres – Part 15: Electrical apparatus with type of protection 'n' (Non-Sparking)
60079-18	Electrical apparatus for explosive gas atmospheres – Part 18: Encapsulation 'm'
61241-1-1	Electrical apparatus for use in the presence of combustible dust – Part 1: Electrical apparatus protected by enclosures – Section 1: Specification for apparatus
61779-1	Electrical apparatus for the detection and measurement of flammable gases – Part 1: General requirements and test methods
61779-2	Electrical apparatus for the detection and measurement of flammable gases – Part 2: Performance requirements for group I apparatus indicating a volume fraction up to 5% methane in air
61779-3	Electrical apparatus for the detection and measurement of flammable gases – Part 3: Performance requirements for group I apparatus indicating a volume fraction up to 100% methane in air
61779-4	Electrical apparatus for the detection and measurement of flammable gases – Part 4: Performance requirements for group II apparatus indicating up to 100% lower explosive limit
61779-5	Electrical apparatus for the detection and measurement of flammable gases – Part 5: Performance requirements for group II apparatus indicating a volume fraction up to 100% gas

- c) the information required in annex of Publication IECEX 02 (use separate sheets)
- d) number of test reports issued in the preceding two years for each type of protection covered by the standards listed in b)

The laboratory undertakes to abide by the Rules and Procedures laid down in the Publication IECEX 02.

(signature)

(name)

(role)

(date)

Enclosed pages concerning the national differences declared in accordance with paragraph c).