IECEx 02

Edition 9.0 2026-03

IECEx PUBLICATION

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

IECEx certified equipment scheme covering equipment for use in explosive atmospheres – Rules of Procedure

IECEx 02:2026-03(en)

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INTERNATIONAL
ELECTROTECHNICAL
COMMISSION

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INTERNATIONAL ELECTROTECHNICAL COMMISSION

IECEx certified equipment scheme covering equipment for use in explosive atmospheres – Rules of procedure

FOREWORD

The IECEx management committee (ExMC) has prepared this publication following recommendations from ExMC working group (WG) 1.

This edition 9.0 of IECEx takes effect immediately upon publication.

The annexes to this publication are normative.

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

Edition	Document	Report on voting/Acceptance
Original	ExMC/690/CD	ExMC/723A/RM
Edition 5.1	ExMC/863A/DV	ExMC/902/RM
Edition 5.2	ExMC/1043/CD	ExMC Decision 2015/33
Edition 6.0	ExMC/1152/CD ExMC(Umhlanga(Sec)08	ExMC/1181/DL, Decision 2016/41
Edition 6.1	ExMC/1249/DV	ExMC/1298/DL, Decision 2017/33
Edition 7.0	ExMC/1389/DV, Decision 2018/35	ExMC/1436/DL, Decision 2018/35
Edition 7.1	ExMC/1517/DV, Decision 2019/26	ExMC/1546/DL, Decision list 2019/26
Edition 8.0	ExMC/1697A/DV	Voting by correspondence following the 2021 ExMC meeting as per ExMC Decision 2021/18. This version includes responses to suggestions from AU, BR, DK and IR on ExMC/1697A/DV received during the voting process,
Edition 8.1	ExMC/1858/DV	ExMC/1894/DL, Decision 2022/20
Edition 9.0	ExMC/2254/RV	This draft includes • changes proposed to ExMC WG5 from UL and then referred from ExMC WG5 to ExMC WG1 • from ExTAG WG1 to ExMC WG1 regarding an addition to Clause 8.1.2 • From AU NC – refer ExMC Decision 2024/50

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INTRODUCTION

The IECEx is a single global certification framework based on IEC and ISO International Standards. It caters for countries whose national standards are either identical to, or else very close to the international standards. The IECEx is truly global in concept and practice; it reduces trade barriers caused by different conformity assessment criteria in various countries and helps industry to open up new markets. The goal is to help manufacturers reduce costs and time while developing and maintaining uniform product evaluation to protect users against products that are not in line with the required level of safety.

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

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 refuelling stations or petrol stations
- Oil, gas and petrochemical refineries, rigs and processing plants
- Oil and gas platforms, tankers, drilling ships and floating production storage and offloading (FPSO) vessels
- Chemical production and processing plants
- Printing industries, paper and textiles
- Hospital operating theatres
- Aircraft refuelling and hangars
- Painting and surface coating industries
- Underground coal mines
- Sewerage treatment plants
- Gas, petrol, kerosene and gasoline pipelines and distribution centres
- Grain handling and storage and processing (flour-milling industry)
- Woodworking areas
- Sugar refineries
- Light metal working, where metal dust and fine particles can appear
- Hydrogen technologies (energy carrier, chemical process feedstock)

IECEx options

The IECEx certified equipment scheme provides both:

a) a single global certificate of conformity, that requires manufacturers to successfully complete:
   - testing and assessment of product samples for compliance with IEC or ISO International Standards;
   - assessment and auditing of manufacturing premises;
   - ongoing surveillance audits of manufacturing premises; and
b) 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

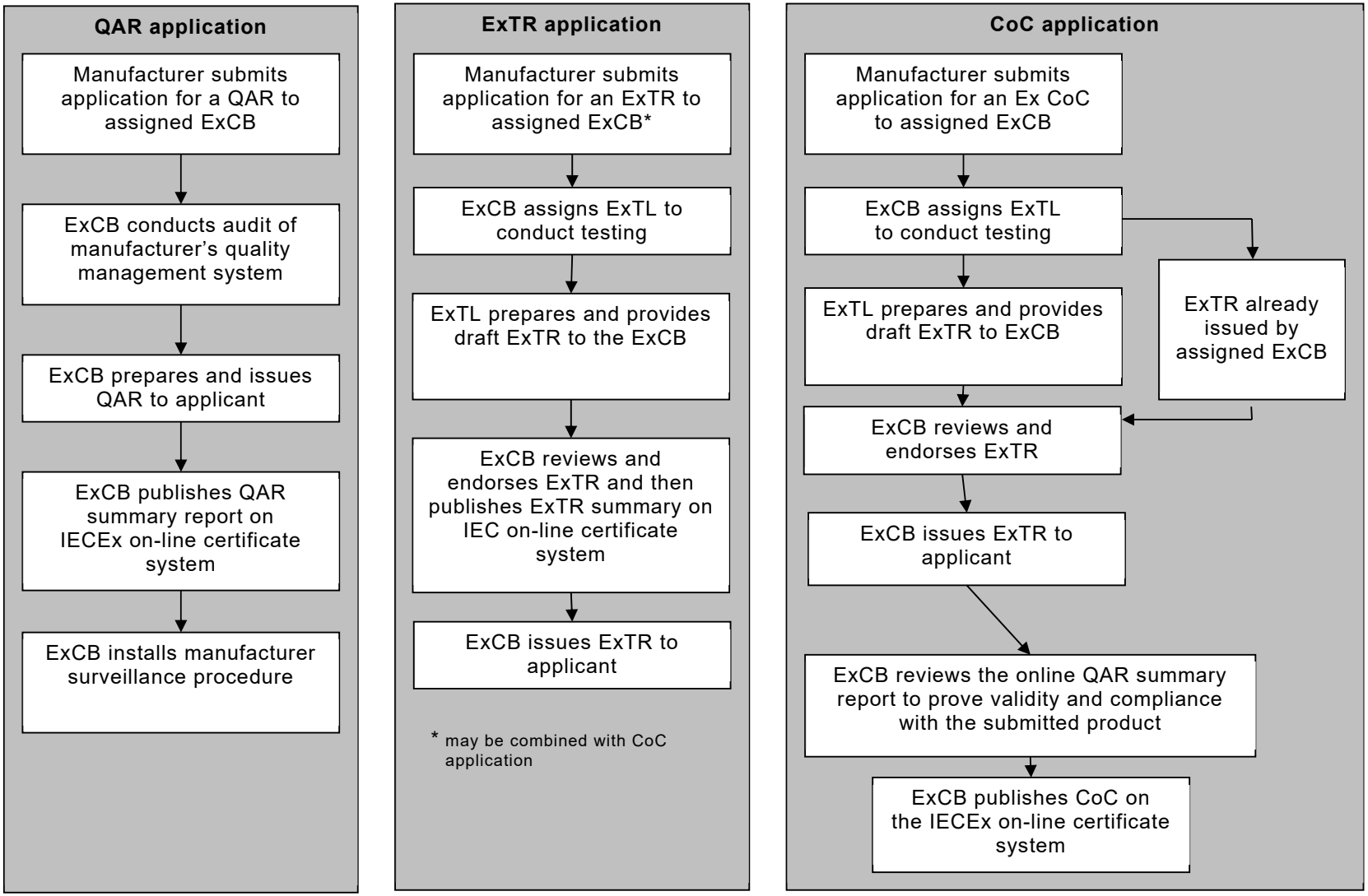
IECEx accepts the participation of Ex certification bodies (ExCBs) and Ex test laboratories (EXTLs) only after successful completion of the IECEx assessment process, which also includes ongoing surveillance. Each Ex candidate certification body and testing laboratory is subjected to the same IECEx assessment process utilizing the internationally established ISO/IEC

Standards on conformity assessment supplemented with the IECEx technical capability documents with world experts in the field of explosion protection being appointed as IECEx assessors.

More information

Further information is available from the IECEx website: www.iecex.com (containing free copies of the IECEx Rules and procedures), from any of the IECEx certification bodies or directly from the IECEx Secretariat via email to info@iecex.com.

Overview for issuing IECEx certificates of conformity, ExTRs and QARs



IECEx certified equipment scheme covering equipment for use in explosive atmospheres – Rules of procedure

1 Scope

This publication contains the rules of procedure of the IECEx certified equipment scheme, hereinafter referred to as the "rules", for the certification of equipment and systems intended for use in explosive atmospheres and which complies with one or more IEC or ISO International Standards that define the types of protection against causing an explosion.

A list of current standards in use is published on the IECEx website: www.iecex.com

This publication is directly related to the IECEx Basic Rules.

Rules covering the IECEx certified service facilities scheme and the IECEx certificate of personnel competence scheme are given in publications IECEx 03-2, IECEx 03-3, IECEx 03-4, IECEx 03-5 and IECEx 05 respectively.

NOTE: The IECEx certified equipment scheme is applicable to equipment conforming to international standards.

The IECEx System also provides for the licensing of an international IECEx mark of conformity with the regulations and rules detailed in publication IECEx 04 and IECEx OD 422.

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 referenced documents were valid and available as published. Where the reference is undated or where no edition for a referenced document is specified, the latest currently published version shall apply. The Ex management committee shall decide the timetable for the introduction of revised editions of the publications.

IECEx Basic Rules (IEC CA 01 + IECEx 01-S), IEC Harmonized Basic Rules (IEC CA 01) plus the IECEx supplement (IECEx 01-S)

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

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

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

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

ISO 9001, *Quality management systems – Requirements*

ISO/IEC 80079-34, *Explosive atmospheres – Part 34: Application of quality systems for equipment manufacture*

IAF MD4, *IAF Mandatory Document for The Use Of Information and Communication Technology (ICT) For Auditing/Assessment Purposes*

IECEx 02A, *Guidance for applicants seeking IECEx certification under the IECEx certified equipment scheme, IECEx 02*

IECEx OD 019, *IECEx participation and scheme fees*

IECEx OD 024, *IECEx rules of procedure covering testing, or witnessing testing at a manufacturer's or user's facility*

IECEx OD 033, *IECEx unit verification certificates*

IECEx OD 060, *IECEx guide for business continuity - Management of extraordinary circumstances or events affecting IECEx certification schemes and activities*

IECEx OD 099, *Procedure for IECEx document management*

IECEx OD 202, *IECEx proficiency testing scheme*

IECEx OD 203, *Guidance on the definition of 'manufacturer' in relation to trade agents' and 'local assemblers'*

IECEx OD 209, *Requirements and guidelines for the suspension, cancellation and reinstatement of certificates of conformity*

IECEx OD 250, *Guidance on the management of IECEx quality assessment reports*

IECEx OD 422, *Rules and procedures for the granting of licenses to issue and use the IECEx conformity mark*

F-008, *Application to become an ExCB in the IECEx certified equipment scheme*

F-009, *Application to become an ExTL in the IECEx certified equipment scheme*

F-010, *Application to become an additional testing facility (ATF) in the IECEx certified equipment scheme*

F-011, *ExCB/ExTL capability declaration for extension of scope*

3 Definitions

ISO/IEC 17000 gives the basic definitions. Where a reference to a document is provided in the following definitions and the reference is undated or where no edition for a referenced document is specified, the latest currently published version shall apply.

For the purpose of the IECEx certified equipment scheme, the following definitions apply:

3.1
IECEx certified equipment scheme
the IECEx scheme for the certification of equipment intended for use in, or relating to, explosive atmospheres and applicable to equipment embodying one or more of the types of protection covered by IEC or ISO Standards

3.2
Type of protection
specific measures applied to equipment to avoid ignition of a surrounding explosive atmosphere

[SOURCE: IEC 60079-0]

3.3
Ex equipment
explosion-protected equipment

[SOURCE: IEC 60079-0]

3.4
Ex equipment certificate
certificate prepared for Ex equipment

[SOURCE: IEC 60079-0]

3.5
Ex component certificate
certificate prepared for an Ex component

[SOURCE: IEC 60079-0]

3.6
IECEx certificate of conformity (CoC)
document issued under these rules that conveys the assurance of the conformity of a product with the specified standard or standards

3.7
IECEx conformity mark
the IECEx conformity mark, licensed for use according to IECEx 04, *IECEx conformity mark licensing scheme – Rules*, and relevant IECEx operational documents (ODs)

3.8
IECEx test report (ExTR)
a document issued by an ExCB that includes a documented record of the obtained test and assessment results endorsed by an ExCB associated with the issuing ExTL, demonstrating that the examined product type is in conformity with specified standards

3.9
IECEx quality assessment report (QAR)
a document that presents the results of an assessment of the quality management system (QMS) of a manufacturer or manufacturing location by an ExCB, to the requirements of the IECEx certified equipment scheme

3.10
Ex management committee (ExMC)
the body which administers the operation of the IECEx System and is responsible to the Conformity Assessment Board of the IEC

3.11
Ex testing and assessment group (ExTAG)
the body which deals with questions of practice relating to assessment and testing under the IECEx System and is responsible to the Ex management committee

3.12
Member body of the IECEx System
a body which has been accepted according to the IECEx basic rules 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

3.13
Ex certification body (ExCB)
a body which has been accepted according to these rules and whose function it is to issue IECEx CoCs, IECEx QARs and to endorse IECEx test reports

3.14
Ex testing laboratory (ExTL)
a testing laboratory which is accepted according to these rules, and which performs tests and assessments and prepares IECEx test reports for endorsement by the associated ExCB

3.15
National differences
those requirements or test parameters in the corresponding national standard which, when applied to equipment complying only with the IEC Standard accepted for use in the IECEx certified equipment scheme, might entail non-compliance of that equipment with the relevant national standard

Note 1 to entry: When a requirement in the standard is not implemented in the corresponding national standard, that is also a national difference.

Note 2 to entry: Those restrictive requirements in a national standard that address risk of explosion issues (i.e. other than general safety requirements that address risks such as fire, electric shock and personal injury), which do not deviate from the criteria included in the corresponding standard accepted for use in the IECEx certified equipment scheme, but which limit the possibility to offer the relevant equipment for sale in the country concerned, are also considered to be national differences. The IECEx Online Bulletin does NOT cover certification system or regulatory differences.

3.16
Applicant
a manufacturer or a person which acts on behalf of the manufacturer, situated at a stated location with a digital contact (refer 3.24) and who applies to an IECEx certification body (ExCB) for obtaining, suspending, or cancelling an IECEx certificate of conformity, or for obtaining an IECEx test report or an IECEx quality assessment report

3.17
Manufacturer
an organization, situated at a stated location with a digital contact (refer 3.24), that carries out or controls such stages in the design, 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

3.18
Manufacturing location
a facility that carries out manufacturing, handling, storage, and/or other activities (for example, routine tests), up to and including releasing to the market the product bearing the IECEx certificate number.

Note: Manufacturing location(s) operate under the control of the manufacturer listed on the certificate with respect to the manufacture of IECEx certified equipment

3.19
Production site
a facility that carries out manufacturing, handling, and/or storage of the product, in part, under the control of a manufacturing location

Note: A Production site will provide product to a manufacturing location for final release.

3.20
IECEx Bulletin
bulletin, issued at intervals decided by the Ex management committee, containing detailed information on national differences

3.21
Unit verification certificate
an IECEx certificate that covers specific equipment/systems that have been produced with each being uniquely identified on the IECEx unit verification certificate to allow the handling of "one-off" items or limited quantities

3.22
IECEx technical capability documents (TCDs)
capability documents approved by the ExMC and listed on the IECEx website, that act as a guide to IECEx assessment teams when conducting assessments of ExTLs, ATFs and ExCBs according to Clause 11 of these rules

3.23
Additional testing facility (ATF)
a testing laboratory located remotely from an accepted ExTLs which is accepted according to these rules, and which is under the complete control of, or belongs to, or works under a written agreement with one Ex testing laboratory (ExTL)

3.24

Digital Contact
any up-to-date and accessible online communication channel through which economic operators can be reached or engaged without the need to register or to download an application

4 Governance of the IECEx certified equipment scheme

4.1 Rules of procedure and operational documents

The IECEx certified equipment scheme shall be governed by the IECEx Management Committee (ExMC), whose responsibilities in this respect are defined in the IECEx basic rules. The governance role of the ExMC is assisted by input from committees reporting to the ExMC – the details of these committees follow in Clauses 4.2 and 4.3.

This document, (IECEx 02) defines the general rules and procedures of the IECEx certified equipment scheme. These general rules are supplemented by the IECEx scheme's operational documents. These operational documents are available to all IECEx member bodies, ExCBs, ExTLs and ATFs, including candidate ExCBs, ExTLs and ATFs, and to applicants and manufacturers that have applied for an IECEx CoC, ExTR or QAR.

The ExMC Secretary shall be responsible for the issuing and maintenance of operational documents which generally fall under the following categories:
a) Document containing explanatory guidance; or
b) Document containing rules and procedures that supplement those contained in IECEx 02.

The ExMC shall be kept informed on the currency of operational documents in accordance with IECEx OD 099.

4.2 Conformity assessment bodies committee (ExTAG)

4.2.1 The conformity assessment bodies committee referred to as the Ex testing and assessment group (ExTAG) deals with matters of a technical nature concerning the application of the IEC International Standards to the assessment and testing of Ex equipment and matters relating to the assessment and surveillance of a manufacturer's or service provider's QMS. The principle role of ExTAG is to facilitate common application of testing, assessment and auditing requirements in the issue and maintenance of an IECEx CoC.

4.2.2 All ExCBs and ExTLs shall be members of the ExTAG. Where an organization is both an ExCB and an ExTL, it shall have only a single membership.

The Chair and/or Secretaries of IEC TC 31 and its subcommittees shall be *ex officio* members of the ExTAG, in order to facilitate the solution of problems relating to the application of the IEC International Standards.

4.2.3 The duties of the ExTAG are:
a) to harmonize the application of the requirements of standards;

b) to detail the way in which the tests specified in the standards have to be carried out so as to achieve the necessary reproducibility of test results;

c) to harmonize the design and use of the test equipment referred to in the standards and to make recommendations to the relevant IEC technical committee or subcommittee for improvement of those standards; and

d) to provide ExCBs and ExTLs with a forum in which practical testing and assessment problems can be demonstrated and discussed.

4.2.4 The ExTAG shall meet at least once a year and preferably in a different country each year, ideally at a place where an ExCB or ExTL is situated.

4.2.5 Meeting Participation Requirements

a) All 02 Scheme ExCBs and ExTLs shall participate in all ExTAG meetings
b) If an ExCB or ExTL does not participate in the ExTAG meetings the Secretariat will remind them of the above requirement.
c) If the ExCB or ExTL does not participate for two consecutive meetings, a special surveillance assessment will be scheduled in addition to the normal surveillance and reassessment audits

4.2.6 Participants in meetings of the ExTAG shall be appointed by the members and shall be experts from ExCBs or ExTLs and, if appropriate, other experts. The names of the participants shall be communicated to the IECEx Secretariat in reasonable time before each ExTAG meeting. The number of participants from each member simultaneously present at a meeting shall not exceed three. The participants may, however, change during a particular meeting according to the subject to be discussed.

4.2.7 Decisions of the ExTAG shall be arrived at by consensus. Where consensus cannot be achieved, the matter shall be referred as appropriate to the ExMC or to the relevant IEC technical committee or subcommittee.

4.2.8 If the ExTAG decides that it is essential to revise a test specification of a standard, a proposal detailing the changes shall be submitted to the relevant IEC technical committee or subcommittee.

4.2.9 As soon as possible after a meeting, the Chair of the ExTAG shall prepare and distribute a report for consideration by the ExMC, covering:

a) the results of the meeting;
b) proposals being submitted to IEC technical committees and subcommittees; and
c) proposals submitted to ExMC for discussion.

4.2.10 Minutes of meetings of the ExTAG shall be sent by the IECEx Secretariat to all ExTAG members and all ExMC members. The minutes of the meeting shall include all decisions of the meeting and a brief account of the discussions.

4.2.11 The Chair and Deputy Chair of the ExTAG shall be appointed by the ExMC upon nomination by the ExTAG.

4.2.12 The term of office of the Chair of the ExTAG shall be three years and the incumbent shall be eligible for re-appointment for one further period of three years. If at the conclusion of a second or subsequent term there are no new candidates nominated for election to the position, the ExMC may appoint the ExTAG Chair for a further three year term. The term of office of the Deputy Chair of ExTAG shall be three years and the incumbent shall be eligible for re-appointment for one further period of three years. If at the conclusion of a second or

subsequent term there are no new candidates nominated for election to the position, the ExMC may appoint the ExTAG Deputy Chair for a further three year term.

4.3 IECEx conformity mark committee (ExMarkCo)

4.3.1 The IECEx conformity mark committee (ExMarkCo) deals with matters relating to the operation of the IECEx conformity mark licensing system by ExCBs including use, or misuse of the IECEx conformity mark by IECEx licensees or other parties. The ExMarkCo also covers all matters related to the IECEx logo as detailed in IECEx publications including IECEx 04 and guides IECEx 01B and IECEx 04A.

4.3.2 Membership of the ExMarkCo shall be determined by the ExMC and shall comprise adequate representation from the conformity assessment bodies, manufacturers, end-users and regulators.

4.3.3 The Chair of the ExMarkCo shall be as appointed by ExMC.

4.3.4 The IECEx Executive Secretary shall act as the Secretary of the ExMarkCo.

4.3.5 The duties of the ExMarkCo are to provide a consultative forum to the ExMC on matters relating to:

a) the development, maintenance, and implementation of the rules and operational procedures of the IECEx mark conformity licensing scheme in accordance with rules in IECEx 04;
b) making recommendations concerning the suitability of certification bodies to be accepted as operators in the IECEx conformity mark licensing scheme and authorized to license the use of the mark; and
c) ensuring compliance with the IECEx rules of procedure and operational documents applicable to the IECEx conformity mark licensing scheme conform to these regulations.

4.3.6 The ExMarkCo shall report to the ExMC who, in turn, shall report to CAB on a regular basis, concerning the operation of the IECEx conformity mark licensing scheme.

4.3.7 The ExMarkCo shall meet as directed by the ExMC, generally on a yearly basis, and preferably at the same time as the IECEx operational meetings. The names of the participants shall be communicated to the Secretary of the ExMarkCo in due time before each meeting.

4.3.8 Decisions of the ExMarkCo shall be arrived at by consensus. Where consensus cannot be achieved, the matter shall be referred to the ExMC for a decision.

4.3.9 As soon as possible after a meeting, the Secretary of the ExMarkCo shall prepare and distribute a report for consideration by the ExMC, covering:

a) the results of the meeting;
b) proposals to be submitted for discussion.

4.3.10 Reports of meetings of the ExMarkCo shall be circulated to all members of ExMC. They shall embody all conclusions of the relevant meeting, together with a brief account of the discussions.

4.3.11 The Chair of the ExMarkCo shall be appointed by the ExMC upon nomination by the ExMarkCo.

4.3.12 The term of office of the Chair shall be three years and the incumbent shall be eligible for re-appointment for one further period of three years. If at the conclusion of a second or

subsequent term there are no new candidates nominated for election to the position, the ExMC may appoint the ExMarkCo Chair for a further three year term.

5 Principles of the IECEx certified equipment scheme

5.1 IECEx certificate of conformity (IECEx CoC)

The IECEx certified equipment scheme provides the means for manufacturers of Ex equipment to obtain CoCs 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 issued by any ExCB accepted into the scheme. The CoC will attest that the equipment's design conforms to the relevant IEC or ISO International Standards and that the manufacturer is manufacturing the product under a QMS and (where they exist) associated quality plan(s) for the manufacturer's products, meeting the requirements of the IECEx certified equipment scheme and under the surveillance of an ExCB. The IECEx QMS requirements are detailed in ISO/IEC 80079-34 being 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.

Manufacturers holding IECEx CoC may apply for an IECEx conformity mark license to approved ExCBs, as listed on the IECEx website: www.iecex.com to affix the IECEx mark of conformity to equipment that are covered by an IECEx CoC.

5.2 Method of application

ExCBs and ExTLs approved by the ExMC in accordance with these rules and associated IECEx operational documents may participate in the IECEx certified equipment scheme. Applications from organizations seeking ExCB or ExTL acceptance for the purpose of issuing IECEx CoCs, ExTRs or QARs can be accepted from bodies that reside in an IECEx participating member country. Applications are made to the ExMC Secretary.

Refer to IECEx 01-S, *IECEx Supplement to Harmonized Basic Rules IEC CA 01* regarding country membership of the IECEx System.

5.3 Acceptance

Certification bodies and assessment and testing laboratories are accepted into the IECEx certified equipment scheme following satisfactory assessment of their competence by assessors approved by ExAG as providing adequate confidence to regulatory authority, user, manufacturers, and certification body interests. Competence is judged by reference to ISO/IEC 17065 and ISO/IEC 17025 and IECEx technical capability documents.

5.4 Permissions

ExCBs are permitted to issue IECEx CoCs, QARs and endorsed ExTRs.

5.5 Exchange of IECEx CoCs

ExCBs located in countries that cannot yet accept IECEx CoCs or whose national standards are not yet identical to the IEC Standards, shall accept for review IECEx ExTRs and QARs for the purposes of issuing local and/or national certification, thereby providing a "fast track" path to local and/or national certification.

ExTRs may cover national differences of the accepting country where they are in addition to the requirements of the IEC Standard. 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.

NOTE ExCBs are to note that there is an expectation of a timely response from the issuing ExCB in response to enquiries or concerns from reviewing ExCBs, and it is recommended that the applicant of the involved certificate(s) be informed of discussions between the issuing ExCB and the reviewing ExCB.

5.6 Unit verification

The IECEx certified equipment scheme enables the issuing of an IECEx CoC to cover specific equipment regarded as “one-off” or production of limited quantities where the requirements for ExCBs to conduct assessment of a manufacturer’s quality system and ongoing surveillance may not be relevant. ExMC shall maintain procedures for the processing of applications for unit verification by ExCBs.

IECEx CoCs issued for unit verification shall require the issue of an ExTR in accordance with these rules and shall include specific reference to the equipment covered by the IECEx CoC, for example, serial number or numbers where more than one item is to be covered. A QAR is not required when an IECEx CoC is issued for unit verification.

NOTE: Refer to IECEx OD 033 for procedures covering the issuing of IECEx unit verification certificates.

Applicants issued an IECEx certificate for unit verification shall associate the certificate only with the equipment identified by serial number(s) indicated in the certificate. Use of the certificate to make claims about any other equipment is forbidden.

The format of IECEx unit verification certificates shall be the same as certificates issued under this scheme (refer IECEx OD 033).

5.7 Duties and responsibilities of those participating in the IECEx scheme

It is the duty of all parties operating in the IECEx certified equipment scheme, including manufacturers and organizations that make application for an IECEx CoC, ExTR or QAR to conduct affairs in a professional and ethical manner that does not result in actions, misleading information or claims that may bring the IECEx credibility into question.

6 Confidentiality

All those participating in the IECEx certified equipment 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 management of the IECEx certified equipment scheme, the country must first be a member of the IECEx System and comply with the requirements for IECEx membership, as detailed in IECEx 01-S*, IECEx Supplement to Harmonized Basic Rules IEC CA 01*. Countries that are existing members of the IECEx System shall be considered members of the IECEx certified equipment scheme.

7.2 National differences

The candidate member body of the IECEx certified equipment scheme shall specify national differences from the IEC Standard(s) in the application.

7.3 Changes

The member body of the IECEx System shall notify the ExMC of any changes in the national differences declared in its application. Notification of any changes should be made within three months.

7.4 Termination

The ExMC may terminate a country's participation in the IECEx certified equipment 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 System.

7.5 Cancellation

In the event of a country ceasing to be a participating country, the ExCBs in that country shall lose the right to issue new IECEx CoCs, ExTRs and QARs. Issued IECEx CoCs and ExTRs shall remain valid. QARs shall remain valid for a period of six months. Within this period the manufacturer shall seek an alternative ExCB that accepts that it will maintain the validity of the QARs.

8 IECEx instruments

8.1 IECEx certificate of conformity

8.1.1 Issue

An IECEx CoC is issued by an ExCB on the basis of an ExTR and QAR. The CoC's issuing ExCB retains ownership of and responsibility for the certificates issued to applicants. The issuing ExCB attests that the type of Ex equipment identified on the CoC conforms in all relevant respects with the standards specified on the certificate. The manufacturer named on the CoC manufactures the product under a QMS complying with the requirements of ISO/IEC 80079-34, as a means of providing adequate confidence that the Ex equipment will be produced in conformity with the design of the certified equipment.

A new (Issue 0) IECEx CoC (other than unit verification type) shall only be issued to the current base edition standard or one base edition prior (editions 1.0, 2.0, etc. where the edition designation is #.0 are examples of base editions). An edition issued for an amendment (for examples, edition 1.1 or edition 2.6) is NOT a base edition and hence it need not be considered when issuing a new (Issue 0) or initial IECEx CoC. As a further example, if a standard currently has editions 1.0, 2.0, 2.1, 3.0 and 3.1 then a new or initial IECEx CoC can be issued to editions 2.0, 2.1, 3.0 or 3.1.

Upgrading of existing CoCs by 'up-issue' (that is, to Issue 1 and subsequent issues) to a new edition of a standard is not required unless otherwise determined by ExMC via policy change or on a case-by-case basis for particular issues or risks.

NOTE The applicable latest base edition is determined on the basis of the issue date of the CoC.

IECEx CoCs issued under unit verification may be issued to any edition of the standard and may be used as an outcome of the repair and overhaul process to verify compliance with standard(s), for example, following modifications outside those permitted by original certification. As IECEx unit verification certificates apply to specific items of Ex equipment and systems, assessment of a manufacturer's compliance with ISO/IEC 80079-34 is not a requirement of the assessment and certification process.

8.1.2 Layout

The ExMC shall decide on the layout and content of IECEx CoCs.

Consideration should be given to ExTAG Decision Sheet 2014/001 regarding the treatment of Ex Components covered by Certificates issued to older editions of Standards.

8.1.3 Contents

The IECEx CoC shall contain at least the following information:

- Clear description of the Ex equipment
- Name and address of the applicant
- Name and address of the manufacturer
- Name and address of all manufacturing locations as defined by Clause 3.18
- The standard and edition, and amendments, if any
- Reference to the supporting ExTR
- Reference to the supporting QAR, except for unit verification
- Ex marking requirements
- Name of the issuing ExCB
- Specific conditions of use (if any)
- Schedule of limitations for Ex component certificates:
- International standard parameters for intrinsic safety, where relevant
- Serial number or other unique identifier for unit verification certificates

8.2 IECEx test report (ExTR)

8.2.1 Preparation

An ExTR is prepared by an ExTL recording the product design assessment, examination, assessment and testing work carried out in order to verify the conformity of Ex equipment with the requirements of the stated standards. Once the report has been endorsed by an ExCB associated with the ExTL it is issued by the ExCB.

The ExMC shall develop and maintain standard ExTR blank forms for all standards used in the IECEx certified equipment 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;
- the name and address of the manufacturer; and
- the edition of the 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 develop the document detailing the requirements to the layout and content of ExTRs.

8.2.4 Issue

ExTRs are intended to be issued in support of IECEx CoCs. An ExTR may be issued on its own, provided the ExTR is endorsed by the ExCB associated with the ExTL. The ExTR, may include evaluation of the Ex equipment for conformity with declared local and/or national differences, and may be used by other ExCBs when issuing their own local and/or national certification. An ExTR may be issued to cover selected clauses and test results of a standard, with the onus on the ExCB to ensure that they are in possession of sufficient ExTRs to cover the full assessment to (a) standard(s).

8.2.5 Restrictions

Because ExTRs form the basis for issuing an IECEx CoC, 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 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 cancellation of the associated IECEx CoC by the ExCB.

8.2.8 Testing at other locations

Whilst it is expected that testing would be conducted at an ExTL or an associated ATF own test premises, IECEx OD 024 covers the situations where testing is conducted at the (or a combination of) manufacturer's, end user's or third party's facility.

8.3 IECEx quality assessment report (QAR)

8.3.1 Assessment of the manufacturer's quality management system

The manufacturer can apply to any ExCB with appropriate scope for the assessment of its QMS. The ExCB shall assess the conformity of the QMS relevant to the Ex equipment requested to be certified, for compliance with ISO/IEC 80079-34. To demonstrate how the QMS ensures that equipment is manufactured in conformity with the requirements, the manufacturer shall provide the ExCB with a copy of a quality plan or equivalent information for the Ex equipment or equipment categories to be listed on the QAR. 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 assessment at the manufacturer's premises, manufacturing location(s) and at the discretion of the ExCB, any production site(s) , to confirm implementation of the QMS.

When assessed and determined to meet the objectives of the assessment , audits, including surveillance audits, or parts of such audits may be conducted utilizing auditing methods using the remote assessment techniques within the limitations set out in IAF MD 4, IECEx OD 025 and IECEx OD 060.

NOTE: ISO/IEC TS 17012 is available to provide guidance on utilization of remote auditing methods in performing audits of quality management systems.

8.3.2 Content

A QAR is intended to be issued in supporting IECEx CoCs. A QAR may be issued on its own by an ExCB recording the assessment of a manufacturer's quality system for compliance with the Ex quality system requirements of the IECEx certified equipment scheme aimed at ensuring the ongoing compliance of Ex products with those characteristics that are covered by the ExTR. A QAR has a limited duration (three years) and can be withdrawn or suspended if intermediate follow-up assessments are not satisfactory. The IECEx On-Line Certificate System maintains a central register with details of issued QAR summaries. ExCBs shall ensure that the QAR summary details on the central register are maintained up to date. The ExMC Secretary shall be informed, without delay, of any matters that affect the validity of QAR summaries.

8.3.3 Quality requirements and Layout

The ExMC shall prepare a document detailing the quality requirements for the IECEx certified equipment scheme and the layout and content of QARs.

8.3.4 Issue

QARs are intended to be issued in supporting IECEx CoCs. A QAR may be issued on its own 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).

A QAR summary report is published on the IECEx website: www.iecex.com, containing at least the manufacturer, manufacturing location(s), the product type, the type of explosion protection of the equipment to be manufactured and the expiration date of the QAR.

8.3.5 Restrictions

The QARs and QAR summaries are documents used in the preparation of IECEx CoCs and provide the basis for ongoing production. They shall not be used in any form of advertising or sales promotion, as the information may be misinterpreted.

8.3.6 Copies

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

8.3.7 Surveillance of manufacturers and manufacturing locations

Where an IECEx CoC is issued, the ExCB issuing the CoC shall either carry out or ensure that periodic surveillance of certified Ex equipment, including examination of documentation and assessment of the manufacturer's QMS for continued compliance with ISO/IEC 80079-34, is conducted at the manufacturer's premises and at all manufacturing locations. The ExCB responsible for issuing the CoC may conduct the surveillance activities or arrange for another ExCB to carry out this work.

The frequency of such surveillance shall be determined by the issuing ExCB in accordance with IECEx OD 025.

8.4 IECEx mark of conformity

Applicants in possession of IECEx CoCs, may apply for an IECEx conformity mark license to affix the IECEx conformity mark in accordance with the IECEx conformity mark rules, IECEx 04, and supporting IECEx operational document IECEx OD 422, as approved by ExMC and listed on the IECEx website: www.iecex.com.

9 Procedure to issue an IECEx certificate of conformity

9.1 Application

An applicant may make an application for an IECEx CoC to any ExCB for standards relevant to the explosion protection or performance of the equipment that form part of the IECEx certified equipment scheme. Where the applicant is a person acting on behalf of a manufacturer, the ExCB shall ensure that the applicant is authorized to act on behalf of all manufacturers to be covered by the application. The issuing ExCB shall also ensure that the applicant and the manufacturer(s) undertake to abide by the rules and obligations of the IECEx certified equipment scheme, including certification maintenance via ongoing surveillance of the manufacturer.

The manufacturer may choose to appoint another organization to act on their behalf for obtaining an IECEx CoC, ExTR or QAR, and be nominated on IECEx CoCs as the applicant.

However, in all cases and at all times, the manufacturer shall be consulted by the applicant regarding correspondence with, or instructions to, the ExCB that issued CoCs, ExTR or QAR relevant to the manufacturer.

The applicant for certification shall provide and maintain a digital contact or other reliable means of establishing contact for information and to verify the validity of certificates and QARs on a specific date

NOTE IECEx 02A, *Guidance for applicants seeking IECEx certification under the IECEx certified equipment scheme*, IECEx 02A is published as a "guide to applicants" to assist applicants and manufacturers when preparing an application for an IECEx certificate of conformity and is available from the IECEx website

9.2 Documentation

The applicant shall supply the documentation necessary to specify the explosion protection features of the Ex equipment. The documentation shall also 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 documents may include ExTRs and QARs issued by other ExCBs.

The documentation shall be in English or accompanied by an English translation.
ExMC shall develop and maintain a document detailing the requirements for documentation to be submitted when applying for an IECEx CoC, ExTR or QAR. Refer to IECEx 02A for basic guidance. 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.

9.3 Samples

The applicant shall supply such samples of the Ex equipment as the ExCB deems necessary.

9.4 Examination of documentation and assessment/testing of samples

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 prepare an ExTR.

Particular attention is drawn to the documentation requirements of IEC 60079-0, regarding the provision of a manufacturer's document(s) which provide(s) guidance on the use, installation, maintenance and overhaul of explosion protected equipment.

9.5 Endorsement of ExTR and QAR and issue of an IECEx CoC

Upon satisfactory completion of the work, the issuing ExCB shall

- review and endorse the ExTR and
- also review the QAR summary report at the IECEx website: https://www.iecex.com in accordance with ISO/IEC 17065.

If the results of both reviews are satisfactory and where the application includes a request for issuing of an IECEx CoC, the IECEx CoC shall be issued by the ExCB in accordance with the relevant IECEx operational document. The manufacturer and the ExCB shall each retain a set of the documentation referred to in the CoC, including the ExTR and the manufacturer's documentation.

NOTE ExTRs and QARs may be issued independently of an IECEx CoC.

9.6 Changes

If the manufacturer wishes to make a change to the certified Ex equipment, controlled by the ExTR, it shall apply to the ExCB which granted the IECEx CoC, 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 a new issue of the certificate authorizing the change. The ExCB shall determine the extent of the change that can be accommodated using a new issue to the original CoC or may determine in consultation with the manufacturer that the changes require a new IECEx CoC to be issued.

9.7 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 conformity mark or IECEx CoC, could lead to suspension or cancellation of the IECEx CoC by the ExCB. Instructions to an ExCB for suspensions and cancellations shall include evidence of consultation with, and agreement by all manufacturers specified on the certificates regarding the actions requested of the ExCB. IECEx OD 209 provides details of the processes for suspension and cancellation of IECEx CoCs.

9.8 Certification procedure for licensed equipment

Equipment produced or sold under license by a second manufacturer (licensee) and with a new product name can be certified in the name of the licensee based on the CoC of the original manufacturer (licensor). Based on a license agreement, the licensee can apply for the CoC referring to the technical documentation and ExTR associated with the original CoC of the licensor. Where the licensee only sells the certified product, the ExCB shall assess the relevant parts of the QMS and issue a QAR. IECEx OD 203 provides details on the requirements for a range of cases and scenarios for certification of equipment produced or sold under license.

9.9 Documentation retained

In placing an application with an ExCB, the manufacturer authorizes 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.

9.10 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 System in the form of a surcharge, 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 in accordance with IECEx OD 019.

9.11 Suspension or cancellation

An IECEx CoC may be suspended or cancelled by the issuing ExCB if

- the applicant requests cancellation
- it is used in a misleading way;
- the Ex equipment no longer corresponds to the design of the certified equipment;
- the QAR no longer adequately covers the relevant Ex equipment
- the QAR summary has expired (the *valid until* date has been passed) and the manufacturer defers ongoing surveillance or does not respond to the ExCB’s efforts to organize and conduct the ongoing surveillance requirements as per Clause 8.3.7 of this document, (refer to IECEx OD 209 and IECEx OD 250 for further details);
- the manufacturer's quality system no longer provides adequate confidence that Ex equipment will be produced in conformity with the design of the certified equipment; or
- any fees owing to the ExCB are not paid as per the agreed commercial terms and conditions.
- the applicant and / or the manufacturer are not contactable via the digital contact submitted to the IECEx Certifying Body that has issued their IECEx certificate for more than 60 working days

Instructions to an ExCB for suspensions and cancellations shall be in accordance with the requirements and provisions of IECEx OD 209.

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

Once a CoC has been suspended or when it has been cancelled, the manufacturer shall not describe the Ex equipment as "IECEx certified", nor affix the IECEx conformity mark to the Ex equipment. Equipment already supplied prior to the suspension or cancellation of the CoC is generally not affected by this change of CoC status.

An IECEx CoC may be also cancelled by the issuing ExCB if
- it has been issued in error;
- the assessment by an ExTL has been found to be deficient; or
- the equipment design cannot be considered as explosion protected.

In that case, the ExCB shall inform immediately the Secretariat and give due notice to the applicant and manufacturer of the cancellation and shall state the reason(s). Once a CoC is cancelled, the manufacturer shall not describe the Ex equipment as "IECEx certified", nor affix the IECEx conformity mark to the Ex equipment. The ExCB shall confirm to the IECEx Secretariat whether the equipment supplied prior to the cancellation of the CoC is or is not affected, and whether previously supplied equipment needs to be withdrawn from the market or from the field (refer to IECEx OD 209 for more detailed guidance).

10 Acceptance of ExTRs and QARs for national certification

10.1 General

Where separate local and/or national certification is required, the IECEx certified equipment scheme provides a fast-track process through the acceptance of ExTRs and QARs. ExCBs shall accept ExTRs and QARs issued by other ExCBs according to these rules when issuing their own local and/or national certificates. This does not preclude a technical review by the receiving ExCB in accordance with ISO/IEC 17065. 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:
- verify compliance with local and/or national differences from the IEC Standards where those local and/or national differences have not been covered by the ExCB issuing the ExTR;
- adequately identify that the Ex equipment submitted for certification is that which is the subject of the ExTR; and
- verify compliance with local and/or national differences from IECEx reference document used for assessment of the quality system of the manufacturer where those local and/or 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, for the purposes of 10.1, 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.The national member body shall inform the ExMC Secretary of any national certification requirements beyond those of gaining an IECEx CoC. Changes to such requirements shall be communicated to the ExMC Secretary as soon as possible, in order that such information is kept up to date.

10.3 Compliance with rules

The issuing ExCB shall ensure that the applicant complies with all relevant rules of procedure of the ExCB and shall confirm the agreement of the applicant to comply with all the relevant provisions, for example, factory surveillance and payment of fees.

10.4 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(s) shall be informed as soon as possible. If the ExCBs

involved arrive at different conclusions, the case may be referred to the IEC Board of Appeal, with initial consideration by the ExMC Secretary, by either of the ExCBs.

Also, should a manufacturer consider an ExTR or QAR to have been issued in error, the ExCB that issued the report(s) shall be informed as soon as possible. If the issuing ExCB arrives at different conclusions, but another ExCB agrees with the manufacturer, the case may be referred to the IEC Board of Appeal, with initial consideration by the ExMC Secretary.

Should a manufacturer or applicant be refused the issuing of an ExTR, QAR or IECEx CoC, or be the subject of suspension or cancellation of an IECEx CoC and disagree with this decision, they may lodge an appeal to the IEC Board of Appeal, with initial consideration by the ExMC Secretary.

11 Acceptance of certification bodies and testing laboratories

11.1 Acceptance of certification bodies (ExCB)

11.1.1 General

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

11.1.2 Conditions for acceptance

A certification body shall be accepted as an Ex certification body (ExCB) by the ExMC and given the right to issue IECEx CoC, ExTRs and QARs to specified standards, under the following conditions and according to the procedures stipulated in 11.1.3 to 11.1.15:

- The certification body shall be a legal entity such that it can be held legally responsible for its certification activities.
- The certification body shall be located in a participating country.
- The certification body shall operate a recognized certification or approval scheme at a national level for the specified types of protection in a country where a national scheme exists or where IECEx is accepted as the national scheme for Ex equipment.
- 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 QMS assessments as well as compliance with ISO/IEC 17065 and with the requirements of ISO/IEC 17021-1 (particularly section 7) as they relate to the competence of staff to carry out QMS assessments shall be assessed. Acceptance in another IEC Conformity Assessment System or IECEx scheme or accreditation by a recognized national accreditation body shall be taken into account. In those cases, the ExMC Secretary shall decide upon the extent of the assessment that is necessary.
- The certification body shall not be part of, or under the influence of, manufacturing interests associated with Ex products or services.
- 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.
- Where the certification body wishes to cooperate with more than one ExTL, the certification body shall have a separate agreement with each ExTL and such cooperation shall be approved by the ExMC either at a meeting or voting via correspondence.
- The ExCB may require their associated Ex test laboratory to maintain professional liability insurance provisions.

11.1.3 Application

The candidate certification body, via the national member body of the IECEx System where the candidate certification body will operate, shall make an application for acceptance as an Ex certification body for one or more standards accepted for use in the IECEx certified equipment

scheme. Applications from candidate certification bodies require the endorsement of the member body of the country of intended operation of the candidate certification body. This endorsement shall be received by the ExMC Secretary prior to the application being accepted.

The application shall be submitted to the ExMC Secretary using IECEx form F-008.

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 System and published in the IECEx Bulletin. There shall not be more than one set of national differences for each country.

In submitting an application, the candidate certification body agrees to comply with the IECEx scheme rules, as amended along with an IECEx code of professional conduct which includes, at all times, to support the principles and aims of the IECEx System.

Upon application, the candidate certification body is admitted as a member of the IECEx conformity assessment bodies committee, known as ExTAG (Ex testing and assessment group), with full voting rights.

11.1.4 Recognition of ExTRs

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

- 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

11.1.5 Assessment

The candidate certification body shall be assessed to determine that the conditions according to 11.1.2 are fulfilled. Assessors approved by the Ex assessment group (ExAG) shall carry out the assessment. The team shall be led by a lead assessor approved by the ExAG and shall include at least one member drawn from an ExCB.

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

Assessors with prior experience working in an ExCB or ExTL and whose knowledge of standards and certification matters is current may be used.

The candidate shall be given the names and current appointments of the assessors proposed. 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 ExMC Secretary who shall manage all assessments, including the appointment of assessment teams from a list of assessors approved by the ExAG, to ensure assessments are carried out in a timely manner and in accordance with the requirements of the IECEx certified equipment scheme.

11.1.6 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.

11.1.7 Report to ExMC

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

11.1.8 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.

11.1.9 Notification

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

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

- to withdraw the application; or
- to accept a new assessment.

11.1.10 Changes

Each ExCB shall inform the ExMC Secretary about changes in the information given according to 11.1.3 and 11.1.4.

11.1.11 Extension of scope

When an ExCB wishes to extend its acceptance to further standards accepted for use in the IECEx certified equipment scheme, an application shall be made to the ExMC Secretary using form F-011. 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 Secretary in consultation with the IECEx Executive shall decide whether the extension may require a full or limited assessment on the basis of the information thus available. A decision shall also be taken whether acceptance of the scope extension requires approval by ExMC. Scope extensions granted shall be reported to the next ExMC meeting.

11.1.12 Reporting of decisions

The ExMC may delegate the decisions according to 11.1.11 to the Chair and Vice-Chair 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.

11.1.13 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 11.1.2.

11.1.14 Withdrawal

An ExCB wishing to withdraw from the IECEx certified equipment scheme shall notify the ExMC Secretary via the member body of the IECEx certified equipment 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.

11.1.15 Suspension or withdrawal of acceptance

The acceptance of an ExCB may be suspended or withdrawn by the ExMC if that ExCB no longer fulfils the conditions of 11.1.2 or if in the opinion of the ExMC, the ExCB hampers the aim, operation or development of the IECEx certified equipment scheme, fails to take action regarding misuse of IECEx CoC 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, as determined by the IECEx Executive, of up to 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 or via voting by correspondence by a majority of at least four fifths of the total number of members voting. Where dealt with at a meeting, members not attending that meeting shall have the right to cast their vote in writing by registered mail, or email to the ExMC Secretary prior to the meeting.

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

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

In case of a suspension or a withdrawal, the ExCB in question shall not be allowed to claim any relationship with the IECEx certified equipment scheme.

11.2 Acceptance of Ex testing laboratories (ExTL)

11.2.1 General

Applications for acceptance of a certification body and an associated 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.

11.2.2 Conditions for acceptance

Acceptance of an Ex testing laboratory as an ExTL is subject to the following conditions and to the procedures stipulated in 11.2.3 to 11.2.11:

- The Ex testing laboratory shall be located in a participating country.
- An Ex testing laboratory is only permitted to 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. An ExTL may work with more than one ExCB providing it has a separate agreement with each ExCB and such cooperation shall be approved by ExMC either at a meeting or voting via correspondence.
- An ExTL may work with additional testing facilities (ATFs) that have been accepted into the scheme according to 11.3. In such case the ExTL acts as the supervising ExTL and is

responsible for the work of the ATFs and applying the rules of the ExTL quality system to the ATFs.

- 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 capability documents shall be assessed. Acceptance in another IEC Conformity Assessment System or IECEx scheme or accreditation by a recognized national accreditation body shall be taken into account. The ExMC Secretary shall decide upon the extent of the assessment that is necessary.
- The Ex testing laboratory shall not be part of, or under the influence of, manufacturing interests associated with Ex products or services.
- The Ex testing laboratory shall participate in the IECEx proficiency testing program.

11.2.3 Application

An application for the acceptance of an Ex testing laboratory as an ExTL for assessment and testing according to one or more standards accepted for use in the IECEx certified equipment scheme shall be made by the candidate assessment and testing laboratory, via a member body of the IECEx System.

The application shall be submitted to the ExMC Secretary using IECEx form F-009.

11.2.4 Assessment

The candidate testing laboratory shall be assessed to determine that the conditions according to 11.2.2 are fulfilled. Assessors approved by the ExAG shall carry out the assessment. The assessment team shall be led by a lead assessor approved by the ExAG and shall include one member from an ExCB and one member from an ExTL.

Assessors with prior experience working in an ExCB or ExTL and whose knowledge of standards and certification matters is current may be used.

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. 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 defined in IECEx OD 019, 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 ExMC Secretary shall manage the assessment process, including the appointment of assessment teams from a list of assessors approved by the ExAG.

11.2.5 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.

11.2.6 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, with supporting information, containing their findings and recommendations. The Secretariat will review the report and then submit it for vote by the ExMC. The candidate may attend an ExMC meeting or submit written comments to respond to enquiries regarding its application.

11.2.7 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.

11.2.8 Notification

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

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

11.2.9 Extension of scope

When an ExTL wishes to extend its acceptance to further standards accepted for use in the IECEx certified equipment scheme, an application shall be made to the ExMC Secretary using form F-011.

The ExMC Secretary in consultation with the IECEx Executive shall decide whether the extension may require a full or limited assessment, on the basis of the information thus available. A decision shall also be taken whether acceptance of the scope extension requires approval of ExMC. Decisions shall be reported to the next ExMC meeting.

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 11.2.2.

11.2.11 Suspension or withdrawal of acceptance

The acceptance of an ExTL may be suspended or withdrawn by the ExMC if that ExTL no longer fulfils the conditions of 11.2.2 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 as determined by the IECEx Executive of up to six months and state its own opinion on the matter.

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

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

In case of a suspension or a withdrawal, the assessment and testing laboratory in question shall not be allowed to claim any relationship with the IECEx certified equipment scheme (noting the likely impact to its associated ExCB).

11.2.12 ExTR review

As a means of ensuring confidence among scheme members, newly accepted ExTLs may be requested as a result of the assessment process to 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.

11.3 Acceptance of additional testing facilities (ATF)

11.3.1 Conditions for acceptance

Acceptance of a testing laboratory as an ATF is subject to the following conditions and to the procedures stipulated in 11.3.2 to 11.3.10:

- The ATF is not required to be located in a participating country.
- The ATF shall operate under the control of, belongs to, or works under a written agreement with a single ExTL to undertake work with it according to these rules.
- The supervising ExTL is responsible for the work of the ATF and applying the rules of the ExTL quality system to the ATF.
- An ATF may only be linked to one supervising ExTL, although the supervising ExTL may have separate links with more than one ATF.
- An ATF may not accept applications for testing within the IECEx system except from its supervising ExTL.
- The supervising ExTL shall demonstrate how it takes full responsibility for the work of the ATF including the conduct of internal audits of the ATF.
- The supervising ExTL shall be responsible for participation of the ATF in the proficiency testing programme (PTP) (IECEx OD 202), where appropriate.
- The competence of the ATF 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 capability documents shall be assessed. Acceptance in another IEC Conformity Assessment System or IECEx scheme or accreditation by a recognized national accreditation body shall be taken into account. The ExMC Secretary shall decide upon the extent of the assessment that is necessary.
- The ATF shall not be part of, or under the influence of, manufacturing interests associated with Ex products or services.
- The ATF shall not subcontract any of its work.
- The ATF shall not issue the ExTR. The supervising ExTL’s associated ExCB issues the ExTR containing any test results obtained at the ATF.

11.3.2 Application

An application for the acceptance of a laboratory as an ATF for assessment and testing according to one or more standards accepted for use in the IECEx certified equipment scheme shall be made by the supervising ExTL. The application shall be submitted to the ExMC Secretary using IECEx form F-010.

11.3.3 Assessment

The candidate ATF shall be assessed to determine that the conditions according to 11.3.1 are fulfilled. Assessors approved by the ExAG shall carry out the assessment. The assessment team shall be led by a lead assessor appointed by the ExAG and shall include one member from an ExCB or an ExTL.

Assessors with prior experience working in an ExCB or ExTL and whose knowledge of standards and certification matters is current may be used. When the laboratory is integral with

a candidate ExTL, or is to be assessed on the same occasion as a candidate ExTL, a combined assessment team may be appointed.

The candidate ATF and its supervising ExTL shall be given the names and current appointments of the assessors proposed. 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 ATF in advance and agreed by the candidate.

The ExMC Secretary shall manage the assessment process, including the appointment of assessment teams from a list of assessors approved by the ExAG.

11.3.4 Resolution of differences

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

11.3.5 Report to ExMC

The assessors shall submit to the ExMC Secretary, with a copy to the representatives of the candidate ATF, a confidential report, with supporting information, containing their findings and recommendations. The Secretariat will review the report and then submit it for vote by the ExMC. The candidate may attend an ExMC meeting or submit written comments to respond to enquiries regarding its application.

11.3.6 Acceptance

The ExMC shall decide upon the acceptance of the candidate ATF 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.

11.3.7 Notification

If the decision of the ExMC is positive, the ExMC Secretary shall inform the candidate ATF and the supervising ExTL in writing. If the decision of the ExMC is negative, the Chair of the ExMC may, depending on the findings, suggest to the candidate ExTL:

- to withdraw the application; or
- to accept a new assessment.

11.3.8 Extension of scope

When an ATF wishes to extend its scope to include additional clauses of standards or tests for use in the IECEx certified equipment scheme, an application shall be made to the ExMC Secretary using form F-011. An ATF may not extend its scope beyond that of its supervising ExTL. When the ATF has been assessed within the last five years, the members of the assessment team that assessed the ATF should be given the opportunity to make comments on the application.

The ExMC Secretary in consultation with the IECEx Executive shall decide whether the extension may require a full or limited assessment, on the basis of the information thus available. Decisions shall be reported to the next ExMC meeting.

11.3.9 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 ATFs and supervising ExTLs are still fulfilling the conditions of 11.3.1. The re-assessment schedule for the ATF shall be the same as for the supervising ExTL.

11.3.10 Suspension

The acceptance of an ATF may be suspended or withdrawn by the ExMC if that ATF no longer fulfils the conditions of 11.3.1 or if it violates these rules. Before such a recommendation is made, the ATF 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 ATF in question shall not be allowed to claim any relationship with the IECEx certified equipment scheme.

12 IECEx publications

12.1 Types of publications

The following types of publications shall be produced:

- the IECEx Bulletin

NOTE The ExMC may decide to issue the publications in electronic format and it may be contained within the IECEx website: www.iecex.com.

12.2 Information to be available

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

- ExCBs name, contact details and scope of acceptance
- Applicants and manufacturers to which IECEx CoCs have been issued
- All IECEx CoCs of current, suspended or cancelled status
- Categories of Ex equipment covered by the IECEx certified scheme; and
- Standards accepted for use in the IECEx certified equipment scheme

12.3 IECEx Bulletin

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

- the IEC Standards for which ExCBs in each country have declared recognition of ExTRs; and
- national differences from each IEC Standard for each country as declared by the member bodies of the IECEx System.

12.4 Source of information

The information published in the IECEx publications is based on information given by the member bodies of the IECEx certified equipment scheme, ExCBs and ExTLs. Neither the IEC nor the ExMC Secretary 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 IEC Conformity Assessment Board (CAB) for appropriate action.

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