IECEx OD 521
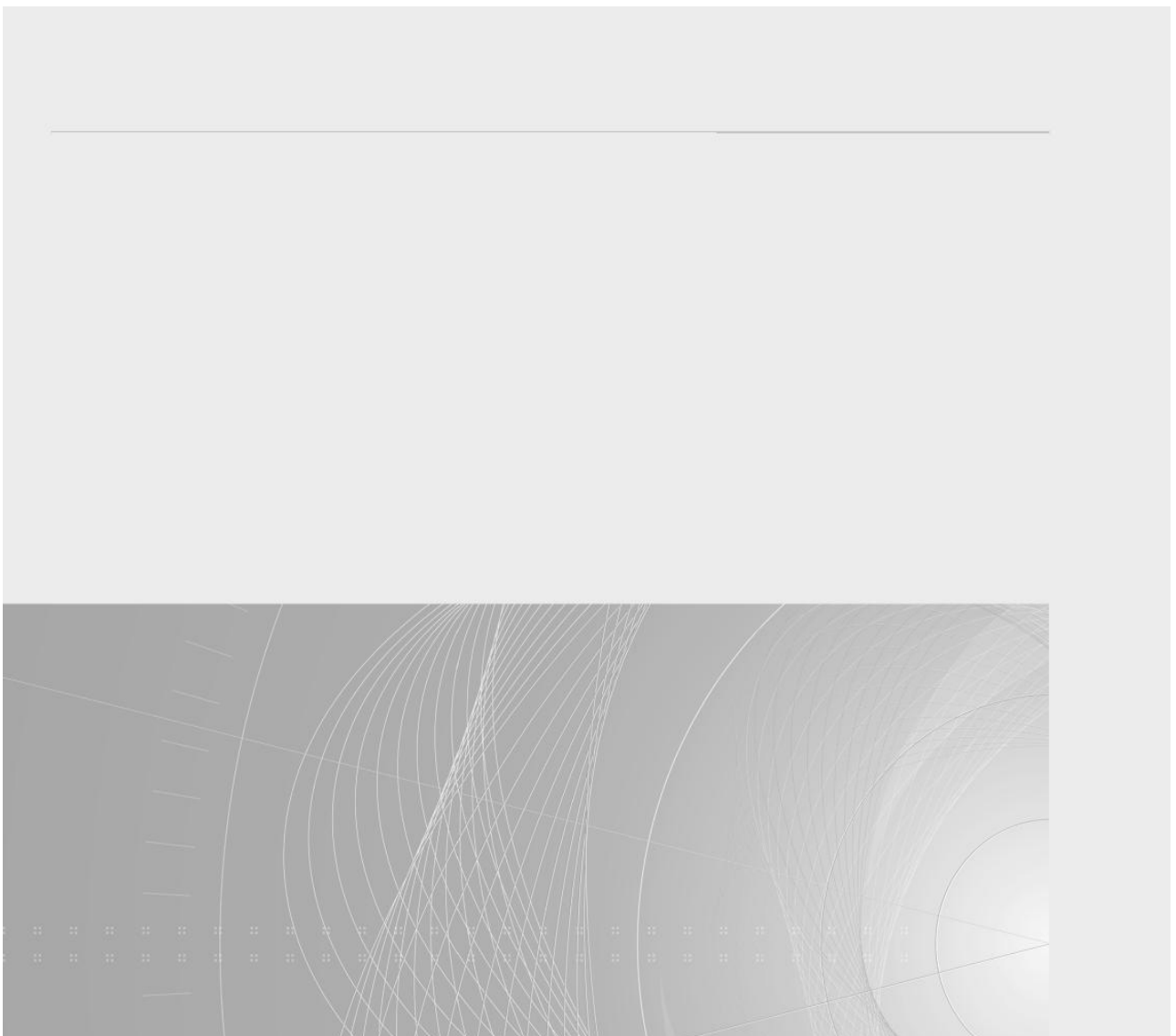
IECEx OPERATIONAL DOCUMENT

IEC System for Certification to Standards relating to Equipment for use in Explosive Atmospheres (IECEx System)

IECEx Scheme for Certification of Personnel Competence for Explosive Atmospheres

IECEx Recognised Training Provider Program

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IECEx OD 521

Edition 3.0, 2017-10

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IECEx Operational Document 521

IECEx Scheme for Certification of
Personnel Competence for Explosive Atmospheres –
IECEx Recognised Training Provider Program

This IECEx Operational Document provides the background to the establishment of an *IECEx Recognised Training Provider Program* (IECEx RTPP) and defines the Rules applicable to applicant organisations (who may be individuals) and the recognition process.

It also provides the requirements, application and assessment procedures for applicant Recognised Training Providers (RTPs).

Document History

Date	Summary
February 2015	Original issue (Edition 1.0)
September 2015	Revised version (Edition 2.0) as approved via ExMC Decision 2015/48 regarding ExMC/1018/CD
October 2017	Revised version (Edition 3.0) as approved via ExMC Decision 2017/68 regarding ExMC/1276/DV

Changes incorporated in this Edition 3.0 include:

- A number of editorial corrections as agreed in the 2017 meeting of ExPCC WG4.

- Trainer to have an IECEx CoPC Certificate of Competence relevant to the training they are delivering.

- The trainer has to have participated in the preparation of the training materials.

- Change to clause 4.1.6

- Inclusion of suspension and changes to Clause 7

- Inclusion of requirements for trainers & training capability in Clause 8

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INTRODUCTION

The goal of the **IECEx Recognised Training Provider Program** (IECEx RTPP) is to provide an opportunity for "Ex training bodies" to benchmark their current operations to the IECEx 05 competence requirements as defined in OD 504 and other aspects of the IECEx System such as the personnel requirements of the **IECEx Certified Service Facilities Scheme.**

The IECEx RTPP is intended to provide the international market with confidence that such organizations have implemented processes to manage and provide training services related to the selection, design, inspection, installation, maintenance, repair, overhaul and reclamation of equipment operating in explosive (Ex) atmospheres.

It is acknowledged that "the market" expects that an IECEx recognised training provider (IECEx RTP) will provide sound training that covers the selection, design, inspection, installation, maintenance, repair, overhaul and reclamation of explosion protected equipment and installations and can provide a pathway to the **IECEx Scheme for Certification of Personnel Competence.**

Many organizations offer training in Ex technologies however not all of these offer training aligned with the structure and requirements of IECEx OD 503 and IECEx OD 504. In an effort to avoid consumer misunderstanding and distrust of the value of **IECEx Scheme for Certification of Personnel Competence** ("IECEx CoPC Scheme"), IECEx has, through the IECEx ExPCC (IECEx Personnel Certification Committee), taken steps to ensure the credibility of the IECEx CoPC Scheme. Awarding RTP status to an organisation provides an indicator of the ongoing capability of the RTP to provide relevant training services on the basis that these have been reviewed and confirmed as complying with this IECEx Operational Document OD 521.

The IECEx ExPCC Working Group 4 is responsible for the development, implementation and maintenance of this OD 521 that originated from an initial proposal by the US National Committee on the development of a framework based on the following key elements:

- a proposition that an independent and voluntary IECEx assessment program for Ex Training Centres will enable employers in the petroleum and mining industries to evaluate the merits of their employees' training and education.

- A suggestion that Ex installations' safety records can be improved with the assistance of the extra tools and greater awareness that could be provided by the existence of 'qualified IECEx Training Centres'

- A suggestion that IECEx assessment and qualification of training centres will ensure adequacy and consistency of Ex training at national and international levels.

- A suggestion of the value of a certifying training centres scheme in providing assurance to employers and individuals that training is being provided with linkages to the latest versions of relevant Ex Rules and Standards.

- A suggestion that an IECEx Scheme for certifying training centres will provide an additional 'resource' for the IECEx Scheme for Certification of Personnel Competence.

- An observation that "Training is specified for individuals in most National regulations for most industries, in particular for industries involved with electrical equipment. However, training of individuals involved with the installation, maintenance, inspection and operation of facilities utilizing Ex equipment is for the most part not well regulated or specified at National levels."

FOREWORD

The objectives of the IECEx RTPP are to provide a framework that formalises international recognition of acceptable providers of training in skills and knowledge in the field of the selection, design, inspection, installation, maintenance, repair, overhaul and reclamation of explosion protected equipment and installations by the IECEx System with consequent benefits including but not limited to the training providers via:

- access to the participants in the Ex sector

- credibility, through IECEx 'recognition', of their training services

- establishing closer links with other participants and stakeholders in the *International Electrotechnical Commission System for Certification to Standards Relating to Equipment for Use in Explosive Atmospheres* ("IECEx System")

and can provide to 'the market for trainees':

- assistance in making an informed choice among training providers when selecting training for their personnel

- an input to risk management practices

- the basis for compliance with workplace health and safety regulatory requirements related to personnel qualifications and guidance on determining minimum, suitable and reasonably practicable levels of required training and assessment.

INTERNATIONAL ELECTROTECHNICAL COMMISSION

IECEx Operational Document 521

**IECEx Scheme for Certification of
Personnel Competence for Explosive Atmospheres –**

IECEx Recognised Training Provider Program

1   Principles of the RTPP

a) The overriding interest of the IECEx System, particularly the IECEx CoPC Scheme is COMPETENCE.

b) Participation in a training course provided by a training provider is ONE of several paths to achieving competence.

c) The IECEx RTPP pertains to organisations (that may be individuals) providing training services relevant to Ex technologies. The IECEx CoPC Scheme will continue to certify the competence of individuals through the issue of IECEx Certificates of Personnel Competence.

d) The scope of the IECEx RTPP may be broader than IECEx CoPC Units of Competence (as defined in IECEx OD 504) and shall be supportive of the scope of the IECEx System.

e) Participation in the IECEx RTPP is voluntary.

f) It is not necessary to attend formal training before applying as a candidate for assessment against the requirements of the IECEx CoPC Scheme.

g) The recognition of a training provider is not a certification or recognition of the content of the training material used by the training provider.

h) The recognition of a training provider does not imply that the training they provide guarantees a successful outcome following assessment of competence for candidates for certification under the IECEx CoPC Scheme.

i) The recognition of a training provider shall support and not devalue the IECEx CoPC Scheme.

2   Normative references

The following documents, in whole or part, are normatively referenced in this IECEx Operational Document and are indispensable for its application. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies. At the time of publication, the editions indicated were valid. The IECEx Management Committee shall decide the timetable for the introduction of revised editions of the publications.

ISO 9001:2008, *Quality Management System*

ISO / IEC 17024, *Conformity assessment -- General requirements for bodies operating certification of persons*

IECEx 02, *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 03 Series (all Parts), Rules of Procedure regarding the Certified Service Facilities Scheme

IECEx 05, *IEC System for Certification to Standards relating to Equipment for use in Explosive Atmospheres (IECEx System) IECEx Scheme for Certification of Personnel Competence for Explosive Atmospheres – Rules of Procedure*

IECEx OD 504, *IECEx Scheme for Certification of Personnel Competence for Explosive Atmospheres – Specification for Units of Competence Assessment Outcomes*

IECEx OD 019, IECEx Participation and Scheme Fees

IECEx Guide 01B, *Guidance for the use of the IECEx Logo*

3   Terms and definitions

For the purposes of this document, the terms, definitions and explanatory information given in IECEx 05 and IECEx OD 504 and following apply.

For the definitions of any other terms, particularly those of a more general nature, reference should be made to IEC 60050-426 or other appropriate parts of the IEV (International Electrotechnical Vocabulary).

3.1
Recognition
Acknowledgement of the existence of a training provider organisation relevant to the Ex sector and their validity with respect to ExMC approved criteria.

4 Design Elements

4.1 Quality Management

Provide evidence of the effective implementation of a documented management system relevant to, and suitable for their Ex related training services and maintenance thereof. Such a management system need <u>not</u> be formally certified but shall include treatment of the elements of ISO 9001:2008 and additional requirements specified below:

4.1.1 Control of documents

Subclause 4.2.3 of ISO 9001:2008 applies, with the following additions:

a) training course materials and related documents (e.g. leaflets, webpages) shall be controlled,

b) documented procedures shall ensure that information contained within the RTP's documentation is current and compatible with the IECEx 05 rules and procedures and the scope of the RTPP.

4.1.2 Control of records

Subclause 4.2.4 of ISO 9001:2008 applies, with the following addition:

The RTP shall retain adequate records to satisfy the requirements of this IECEx OD 521. As a minimum, the list of materials requiring control and retention, as far as applicable, shall be:

a) documents related to the RTP status

b) training records of both candidates (including details of name, training content and name of trainer) participating in training courses and trainers themselves;

c) inspection data of practical training courses' simulated workplaces;

4.1.3 Quality management system planning

Subclause 5.4.2 of ISO 9001:2008 applies, with the following addition:

All the elements, requirements and provisions adopted by the RTP in order to ensure compliance with the requirements of IECEx OD 521, shall be documented in a systematic and orderly manner in the form of written policies, procedures and instructions.

4.1.4 Responsibility and authority

Subclause 5.5.1 of ISO 9001:2008 applies, with the following addition:

Responsibilities and authority for the following shall be defined:

a) the effective coordination of training activities,

b) the liaison with the IECEx ExPCC with respect to any proposed change to the scope of the RTP,

c) the customers' information of any applicable specific conditions for the training course (e.g. required PPE for the practical training) and any limitations

d) the review and maintenance of training course materials.

4.1.5 Competence, training and awareness

The RTP shall ensure that all persons having an impact on IECEx OD 521 compliance receive appropriate training. The RTP procedures shall provide details of how training staff are qualified.

NOTE - People having impact may include those concerned with training, maintenance of training course materials, sales, marketing, supply management, calibration and control services and other services.

4.1.6 Control of monitoring and measuring equipment

Subclause 7.6 of ISO 9001:2008 applies, with the following addition:

Test and measuring instruments used for practical training courses only may be excluded from the requirements of Subclause 7.6 of ISO 9001:2008 except for situations where out of

calibration instruments may impact on the confidence of results (for example IEC 60079-19 requires demonstrated ability to use measuring equipment in a competent manner).

Test and measuring equipment not subject to the requirements of Subclause 7.6 of ISO 9001:2008 shall be marked as *"Not Calibrated. For training purposes only"* and listed as such in records retained in accordance with Subclause 4.2.4 of ISO 9001:2008.

4.2   Knowledge

Demonstrate capability and history of providing training to technically oriented persons in Ex technologies and related fields.

4.3   Trainers

Employ training specialists with the following relevant items

a) an IECEx CoPC Certificate of Competence relevant to the training they are delivering, except for persons from ExCBs and ExTLs operating in the IECEx 02 Scheme

b) demonstrated knowledge of Ex technologies and relevant Ex standards (IEC, ISO and others)

c) an understanding of the application of standards, directives, specifications and regulations pertaining to the Ex sector.

d) access to the Ex sector and relevant Ex standards as the basis for ensuring the currency and relevance of training materials and methods.

e) Some form of evidence of their personal involvement in the preparation of training materials.

5   Rules

a) Any organization (that may be an individual) that creates and administers continuing education and/or training activities, courses or programs may apply (via a declaration on the elements detailed in Annex A of this document) for IECEx RTP status provided it:

- is a government department or agency, or is incorporated, chartered, or otherwise legally-recognized as a business entity, and

- has been in business for at least three (3) years and operating under the conditions described in the application for at least one (1) year, and

- has a well-defined organizational structure in which the authority and responsibility for administering continuing education and/or training activities, courses, or programs is assigned to a particular unit, and

- has its educational activities, courses, or programs administered by an individual or group that can ensure that the requirements of this IECEx OD521 are met, and

- has written policies and processes that are compliant with this IECEx OD521, and define the organizational unit that seeks RTP status. Applicants may apply on behalf of the entire organization, or a specific unit or department within the organization. An RTP shall operate under a single set of policies and processes, with authority, responsibility, and administrative control over the learning events offered under its auspices.   Large, complex organizations and organizations with multiple geographic units may encompass several distinct RTPs, each of which may need to apply separately for IECEx RTP status.

  NOTE – In situations where the management of ongoing compliance with this IECEx Operational Document for multiple training provider sites is conducted by a Head Office or similar it is expected that this 'office' would apply and maintain RTP status on behalf of the sites that need to be listed. It is also expected that the 'office' will conduct internal audits of the listed sites.

b) Any recognition granted to an organization will be on the basis of a review of evidence of:

- the organization's management systems

- levels of expertise in Ex of the organization and staff employed or contracted to provide Ex training services

- levels of training / education expertise, qualifications and experience of staff employed or contracted to provide Ex training

- their processes for selecting, maintaining and developing staff or contractors providing Ex training services

- their capability to provide or access suitable training material.

c) Whilst the RTPP does not apply to the content of training material it is expected that, for relevance, the RTP's training material shall reflect the requirements of IEC TC 31 publications as a minimum. Similarly, the scope and content of training material need not be aligned with nor guided by IECEx OD 504 but shall not be in conflict with OD 504. However, training courses which are identified as being aligned to IECEx Units of Competence shall have, as a minimum, content aligned to and guided by IECEx OD 504.

d) An RTP may issue, in addition to other documents unique to their organization or other parties, some form of a 'record of attendance'. The content and format should be established by IECEx Management Committee (ExMC) to ensure consistency in any disclaimer or limitation statements and determination concerning use or not of the IECEx logo.

e) The subcontracting of training provision services by RTPs is not permitted. The use of contracted resources under the full control of the recognised organisation is however permitted where the same policies and processes for selecting, monitoring, and evaluating employee instructors are also used for non-employee instructors.

f) The requirements of ISO / IEC 17024 with respect to the separation of training provision and competence assessment functions apply to all RTPP applicants.

6 Recognition Process

Organisations providing training services related to the scope of the IECEx System may apply for recognition as an IECEx RTP. Annex B provides an overview of the process.

Applications shall be submitted to the IECEx Secretariat in the form of a declaration (refer Annex A) accompanied by a once only Application Fee of value defined in IECEx OD 019 and made payable to the International Electrotechnical Commission (bank details for direct transfer are available on request to the IECEx Secretariat) with the first declaration.

Current RTPs will pay an Annual Fee, also defined in IECEx OD 019 as invoiced by the IECEx Secretariat in January of each calendar year.

Applications for recognition are reviewed for adequacy of information by the IECEx Secretariat and then by a Review Panel appointed by the IECEx ExPCC. This Review Panel will include representatives from the IECEx Assessor Panels for the IECEx 02, IECEx 03 and IECEx 05 Schemes and representatives from ExPCC Working Groups 2 and 4.

The Review Panel will make recommendations to the IECEx Executive whether the applicant should be accepted as an IECEx Recognised Training Provider.

Upon advice from the IECEx Executive of acceptance and on confirmation of payment of the applicable fees, IECEx Recognised Training Providers:

a) shall be permitted to use the IECEx logo in accordance with IECEx 01B as appropriate

b) shall be listed on the IECEx website for the period of validity of their recognition. This listing may include details of their services as they relate to the IECEx Units of competence as detailed in IECEx OD 504 and also include a link to the RTP's website.

c) are permitted to issue statements to trainees that the training completed serves as preparation for assessment according to the requirements of the IECEx CoPC Scheme Competence Units as defined in IECEx OD 504.

Unsuccessful RTPP applicants will be advised of this result by the IECEx Secretariat.

7 Withdrawal or suspension of recognition

The RTP status of an organisation may be withdrawn by the IECEx Executive, in consultation with the organisation on:

a) a decision by the IECEx ExMC to abandon the IECEx Recognised Training Provider program, <u>or</u>

b) a recommendation from the IECEx ExPCC or IECEx Secretariat in response to:

   1) Notification from the Recognised Training Provider that they no longer wish to participate in the Program… An RTP may notify at any-time without penalty and fees are not refunded in this situation;

   2) Failure to pay the Annual Fee;

   3) Confirmed instances of misuse of the IECEx logo;

   4) Confirmed misrepresentation by the recognised organisation regarding the scope or basis of their IECEx recognition;

   5) Failure to submit IECEx ExPCC RTP annual report;

   6) Consistent failure to participate in the work of IECEx Ex PCC WG 4;

   7) Other instances of potential damage to the IECEx System arising from substantiated complaints or observations of activities contrary to this Operational Document.

Delay in submitting an IECEx ExPCC RTP annual report, after a reminder from the IECEx Secretariat, will result in suspension of RTP's listing on the IECEx web site

In the case of a breach of Rules the RTP may be suspended by notification from by the IECEx Secretariat based upon a decision by the IECEx Chairman with the support of the IECEx Executive. In such a case, the ExPCC shall be notified and the RTP shall suspend all training as an IECEx RTP during this suspension

Upon withdrawal of RTP status all rights and listings of the training provider organisation will be removed.

8   Continuity of RTP Status

Continued RTP status is subject to a review of the RTP's annual report on their activities, trainer competence, training capability, systems and processes with a review every three years by the IECEx ExPCC appointed Review Panel.

It is expected that an RTP will have provided a minimum of four relevant training services per year over the three-year period as a demonstration of ongoing capability.

The renewal of RTP status is conducted via the submission (at nil cost) and review of a new or updated declaration by the RTP before the expiry of the three-year period.

Renewal is subject to the decision of the IECEx Executive.

Annex A
RTPP Applicant Declaration Elements

Declaration by a training provider organisation applying to become an IECEx Recognised Training Provider in the IECEx System

A.1   Documentation

The declaration by a training provider organisation (that may be an individual) applying to become an IECEx Recognised Training Provider 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 (both administrative and for training activities);

- documents available for providing supporting information, for example with regard to other relevant credentials or references as a training provider

b) Details of any legal relationship that exists between the Training Provider and any IECEx accepted Certification Body (ExCB)

Note: it is not a requirement of an RTP to have a legal relationship with an ExCB but details of those that may exist need to be detailed in the Declaration

c) Evidence of implementation of a documented management system relevant to, and suitable for their Ex related training services and maintenance thereof.

d) Evidence of an awareness of the operation of personnel certification systems (in particular the IECEx CoPC Scheme) and evidence of an awareness of the principles and requirements of ISO/IEC 17024

e) Statement of details of training staff with competence in Ex technologies

f) Details of the scope of their training services to be provided as a recognized training provider. These may be outlined in terms of the IECEx Certified Persons Scheme competence units as defined in IECEx OD 504 OR a similar method

g) Acceptance that IECEx Secretariat reserves the right to:

- request information on the RTP's training activities.

- request samples of training materials.

- request copies of the RTP's management system documentation.

- request permission to contact, via the RTP, trainees for the purposes of surveying them on the training services provided or to review the results of individuals' assessment activities conducted during or at the completion of training activities.

- provide feedback on relative suitability of current training duration.

h) Agreement to advise the IECEx Secretariat of any changes to the organisation's systems or personnel where these may impact on the organisation's ability to continue to provide training services as originally defined and reviewed as part of the RTPP application process

i) Agreement to respect the intellectual property rights of the International Electrotechnical Commission (IEC)

j) Acknowledgement that their use of the IEC Ex logo will be monitored by the IECEx Secretariat and instances of misuse reported to the IECEx ExMarkCo

k) Agreement to participate in the activities of IECEx ExPCC Working Groups as requested.

l) Agreement to, at all times, maintain and uphold the integrity, support and promotion of the IECEx System and its Schemes and its reputation. In this respect, the RTP agrees to not conduct activities that compromise the position of the IEC and the IECEx System.

m) Agreement to abide by the IECEx Rules and by Decisions of the IECEx Management Committee (ExMC) and its nominated representatives.

A.2 Key performance indicators (KPI)

Additionally, applicants are also invited to provide information about their organisations Key Performance Indicators (KPI) as they related to training services.

Key Performance Indicators (KPIs), also known as KPI or Key Success Indicators (KSIs), help an organization define and measure progress toward organizational goals.

Once an organization has analysed its mission, identified all its stakeholders, and defined its goals, it needs a way to measure progress toward those goals - Key Performance Indicators can be used as quantifiable measurements of progress.

KPIs should reflect the critical success factors of an organization and should be agreed, documented and reflected in the organisation's quality management system.

We acknowledge that each RTP's KPIs will differ depending on the organization's strategy and structure however we expect that RTP applicants will have considered establishing KPIs in at least five areas of their operations regarding training and that this five should include the following:
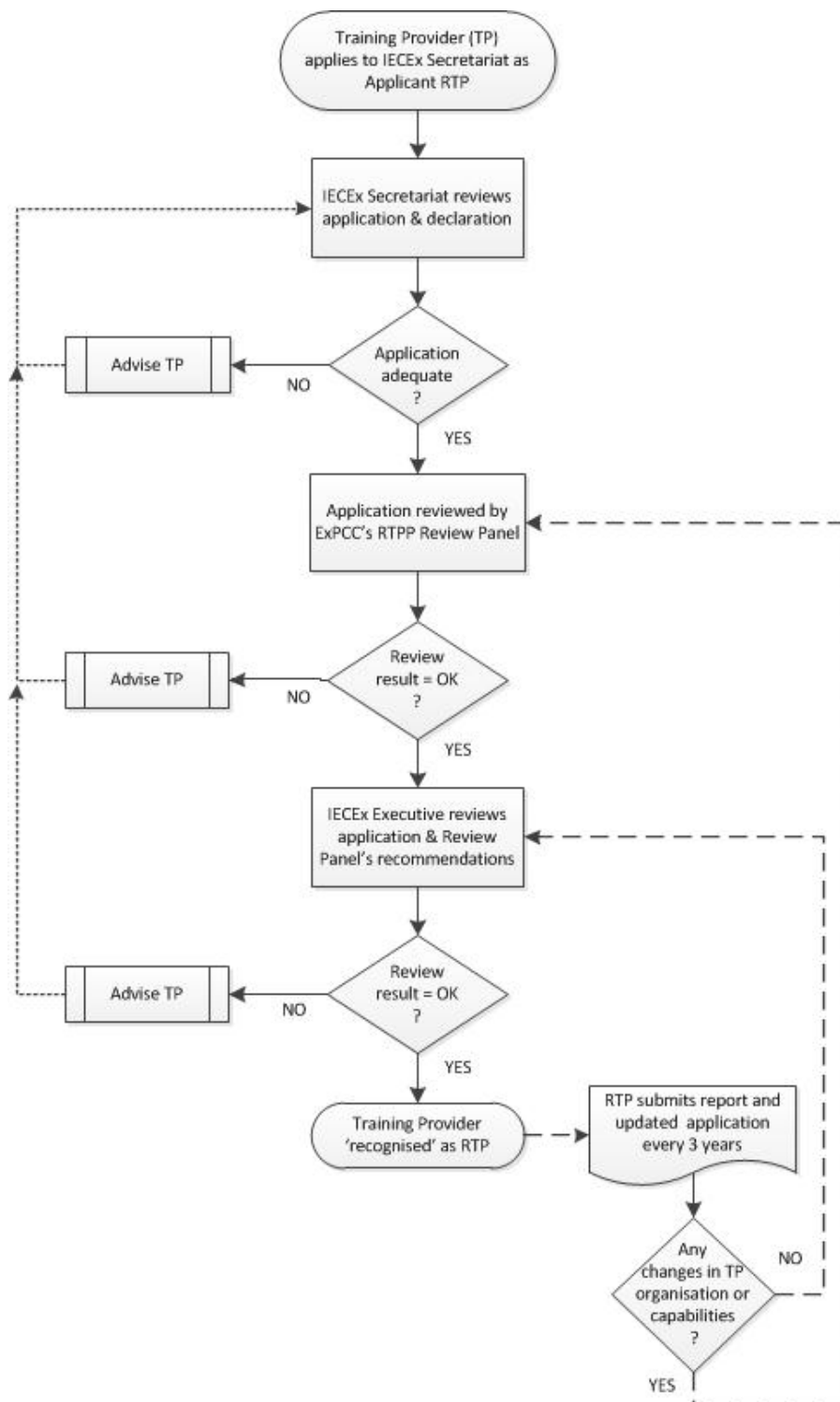
1) Training and competence of staff

2) Assessment of learning outcomes

3) Assessment of training methods and program content

4) Feedback and complaints management / Customer Satisfaction

5) Alignment with current and emerging Standards, IECEx documentation, technologies and practices

Annex B
Application Review and Recognition Process

Figure B.1 below shows an application review and recognition process flowchart with the basic steps for an Ex Training Provider seeking IECEx recognition.

Figure B.1   Application Review and Recognition Process