



IECEX OD 011-3

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IECEX Operational Document

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

OD 011-3

**Guidance on Use of the IECEx Internet based “On-Line”
Certificate of Conformity System**

**Part 3: Creating IECEx Service Facility Certificates of
Conformity CoCs**

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INTERNATIONAL ELECTROTECHNICAL COMMISSION

IECEX Operational Document 011-3

Guidance on Use of the IECEX Internet based “On-Line” Certificate of Conformity System Part 3: Creating IECEX Service Facility Certificates of Conformity CoCs

INTRODUCTION

This Operation Document provides guidance for IECEX Certification Bodies (ExCBs) when creating IECEX Certificates of Conformity (CoCs) using the IECEX Internet based “On-Line” Service Facility Certificate of Conformity System.

OD 011 consists of five parts as follows:

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

OD 011-1 Part 1: General Information

OD 011-2 Part 2: Creating IECEX Equipment Certificates of Conformity CoCs

OD 011-3 Part 3: Creating IECEX Service Facility Certificates of Conformity CoCs (This part)

OD 011-4 Part 4: Creating IECEX Conformity Mark Licenses

OD 011-5 Part 5: Creating Certificates of Personnel Competence

This Document should be read in conjunction with OD 011-1, *Part 1: General Information*. As a means of promoting the IECEX and its Members, OD 011-1 has been prepared in a format suitable for public access.

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

Document History

Date	Summary
2007 04	Original Issue (Edition 1)
2009-05	Edition 1.1 This edition of IECEX OD 011-3 has been issued to take into account a number of editorial formatting changes. Information with regards to printer margins added to Clause 1.1.4
2010-08	Edition 1.2 This edition of IECEX OD 011-3 has been issued to provide printing guidance and make reference to Part 5.
2013-02	Edition 1.3 This edition of IECEX OD 011-3 has been issued to include updates to images and expansion on text. Changes are shown with a “Red” margin stripe.

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Guidance on Use of the IECEX Internet based “On-Line” Certificate of Conformity System Part 3: Creating IECEX Service Facility Certificates of Conformity CoCs

1 Section 1 Creating IECEX Service facility Certificates of Conformity (CoCs)

1.1 General Information

1.1.1 System

The IECEX CoC System uses HTML as per most Web based documents. The items below provide guidance to ExCBs when creating CoCs.

1.1.2 Passwords

The “On-Line” Certificate of Conformity System provides for a 2 level password system, as follows:-

- a) A 1st level password that the ExCB’s Official IECEX representative may provide to various staff within their organisation, to enable them to create a new certificate as a DRAFT. This level password will enable the staff member to create a new draft certificate and save it as a draft. It WILL NOT allow them to change the status from “DRAFT” to “CURRENT”.
- b) A 2nd level password that is assigned to the official IECEX representative for issue only for the function that is authorised (within the ExCB management system) to formally issue certificates. This 2nd level password enables the person the same access as the 1st level password PLUS the authority to change the Status from DRAFT to CURRENT.

The two levels of passwords mean that entering certificate information can be done by staff within the ExCB other than the certification authority. The 2nd level password ensures that there is the final check by the authorised person.

It is most important that the ExCB’s Official representative to IECEX ensures that these passwords are kept secure and that they notify the IECEX Secretary immediately, of any possible breaches of security as new passwords can be assigned.

1.1.3 Further Guidance

For further information or guidance on using this new IECEX “On-Line” Certificate of Conformity System, please contact the IECEX Secretariat.

1.1.4 Printing CoCs

The following guidance is provided to assist with printing CoCs.

- Using Internet Explorer 6. All page margins need to be set to zero.
- Using Internet Explorer 8. With the CoC open, go to "Page", select "Compatibility View Settings" and select "Display all websites in Compatibility View". Also in Print Preview select 100% and ensure that page margins are set to minimum.
- Using Internet Explorer 9. One method which provides satisfactory result is as follows: Select the CoC to be printed. Right click and select “print preview”, select 100% and then “print”. Make sure that “compatibility mode” has been selected and that page margins set to minimum.

1.2 Notes for each field

1.2.1 Certificate No:

The certificate number consists of the following characters:

IECEX YYY S0000

Where “YYY” is the ExCB identifier. The “S” character indicates that the certificate relates to a service facility.

The “0000” field is automatically generated by the system and advances in number by “1” for each new issue of a certificate.

1.2.2 History

All CoCs contain a “History” block. The History block shows all the Issues, of a particular CoC, that have been created and the respective date. Note that each “Issue” entry is an active link to that particular Issue of the CoC.

1.2.3 Status

Operational Document OD 011-1 provides an explanation of the Status options. The “Draft” status should be selected when the ExCB is compiling or preparing the CoC. When saved as a Draft, the CoC remains on the System BUT IT CANNOT be viewed by other ExCBs or the public.

When ready to formally issue the CoC, the issuing ExCB re-enters the IECEX CoC “On-Line” System and then selects the *Draft* CoC. Once the *Draft* CoC appears, the ExCB then selects “Edit” from the options located directly above the CoC. This then opens all fields of the *Draft* CoC ready for any last minute changes. Once complete and ready to issue, the issuing ExCB (using a level 2 password access) changes the “Status” field from “Draft” to “Current” and then selects the “Save” option, located directly above the certificate. This step is regarded as the ExCB’s official “Decision to Issue” the certificate, which is similar to the ExCB’s Authorizing Officer signing a paper certificate.

Please note that a *Current* CoC may only be edited by the ExCB in the first 14 days following the entered Issue Date regardless of the date it was made *Current*. A change of status after this time must be referred to the IECEX Secretariat.

Once saved as “Current” the CoC is then available for anyone to view or print.

Once a CoC is issued as *Current*, the issuing ExCB must include the manufacturer under a surveillance program, in accordance with the IECEX Operational Documents. During this surveillance program, an ExCB may be required to change the status of an IECEX CoC from *Current* to *Suspended* or even Cancelled. However this must only occur in accordance with the ExCB’s Certification procedures.

It should also be noted that, in accordance with the IECEX Rules, the manufacturer, should they object to the decision of the ExCB, always has the option of lodging an appeal with the IECEX Board of Appeal.

1.2.4 Date of Issue

The Date of Issue should be regarded as the date on which the ExCB is satisfied that all the requirements of the IECEX System have been satisfied.

1.2.5 Issue No

The Issue Number acts as a change control device to record the number of changes that have been made to the CoC, with “Issue No. 0” representing the “Original Issue”.

Examples of changes to an IECEX CoC which would require a New version of a CoC cover two broad areas of Administrative and Technical changes. These include:

- Change of Company Name or Certificate Holder;
- Change in Service Facility location;
- Change in ExCB conducting audits and issuing the QAR.

For further details contact the IECEX Secretariat

Where an Applicant requests a change to an IECEX CoC, the ExCB must first judge whether such a change is appropriate or whether the change is sufficient to warrant the issue of a New CoC. An example of this would be the adding of a new series of service capabilities where an extensive list of additions may be best dealt with by the issuing a new certificate.

It should be noted that when conducting an audit visit of manufacturers, the one audit visit and hence one IECEX Quality Assessment Report (QAR) might be used to cover more than one IECEX CoC. For example the one audit visit and one QAR may be used by a manufacturer holding an IECEX CoC for motors and another IECEX CoC for luminaries providing both manufacturing areas are covered during the audit visit.

When an ExCB issues a change to a CoC, the ExCB must include the details of the change in the “Scope of Service” field. The original text and product description should NOT be changed.

The “Scope of Service” field is mandatory and must contain the details before the CoC can be saved.

1.2.6 Applicant

As required by the IECEX Rules, IECEX 03, the certificate should be in the name of the Applicant, however the location of the Applicant may be the head office, which can be different to the locations covered by the Certificate.

1.2.7 Type of Service

The type of Service is selected from the “drop down” list.

1.2.8 Type of protection

The ExCB can only add to the CoC the type of protection that is within the approved scope of the ExCB.

1.2.9 Scope of Service

This field should contain a brief description of the scope of service provided by the ExCB. Also a brief description of any changes resulting in a “New issue” of the CoC is to be included here.

1.2.10 Locations covered by this Certificate

This section provides for the inclusion of the address of more than 1 location. A street address is required - a Postal Box number is not acceptable.

1.2.11 Facility Audit Report (also referred to as “Facility Assessment Report”)

The reference number of the IECEX Facility Assessment Report (FAR) is automatically assigned by the “On-Line” CoC system. Generally, an FAR will have been issued before it comes time to create a CoC. Therefore the ExCB must use the “Insert/delete ExFAR” to insert a link to the appropriate Issued FAR. Refer to Section 2.3 of this document for further guidance.

1.2.12 Approved for issue on behalf of the IECEx Certification Body

This name should be the person within the ExCB authorized, in accordance with the ExCB's quality system, to issue Certificates. In many cases this person is regarded as the ExCB's "Signatory".

1.2.13 Position

This is the title of the signatory's position within the ExCB.

1.2.14 Signature

This space has been provided for instances where a paper certificate or a copy of a certificate, endorsed by the issuing ExCB may be required. The blank space for signatures only appears when the Certificate is printed.

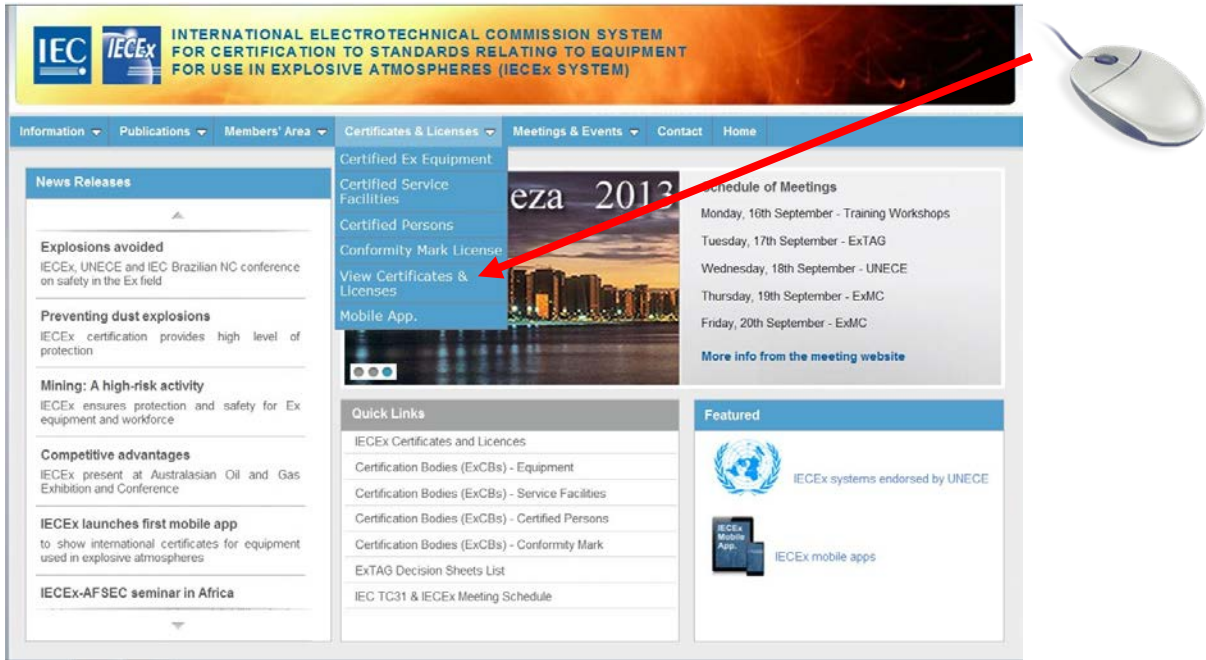
1.2.15 Date

This space is intended to apply to paper copies of the certificates and is the date when the IECEx Certificate of Conformity is signed.

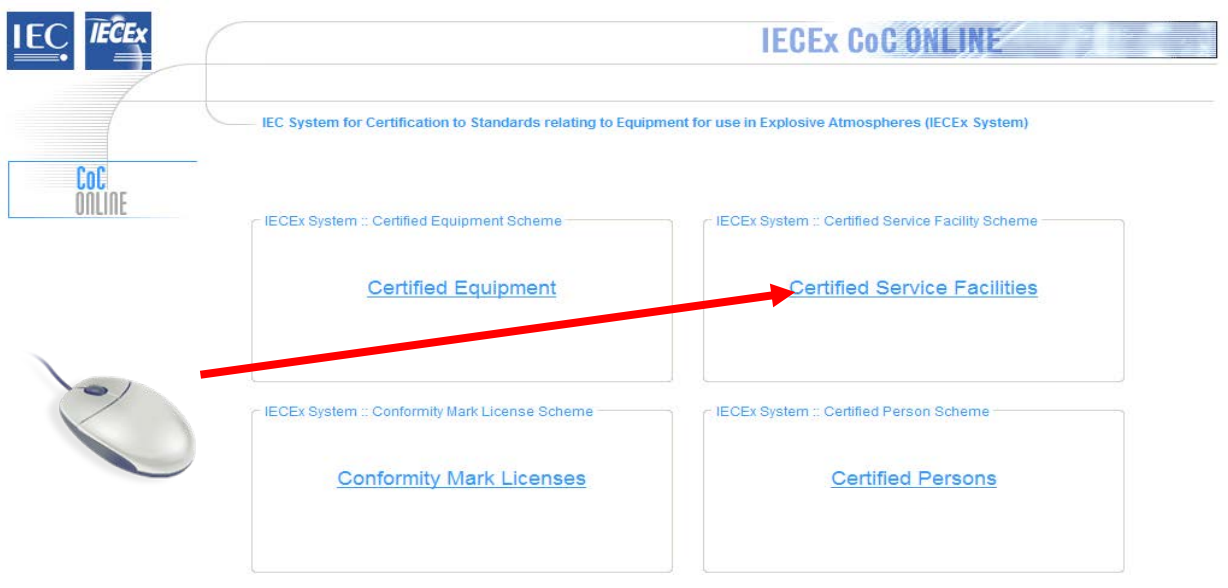
2 Section 2 New Features to assist the entering of a New IECEX Service Facility Certificate of Conformity

2.1 Entering new CoC details

STEP 1: Select "View Certificates & Licenses" from IECEX Website: www.iecex.com



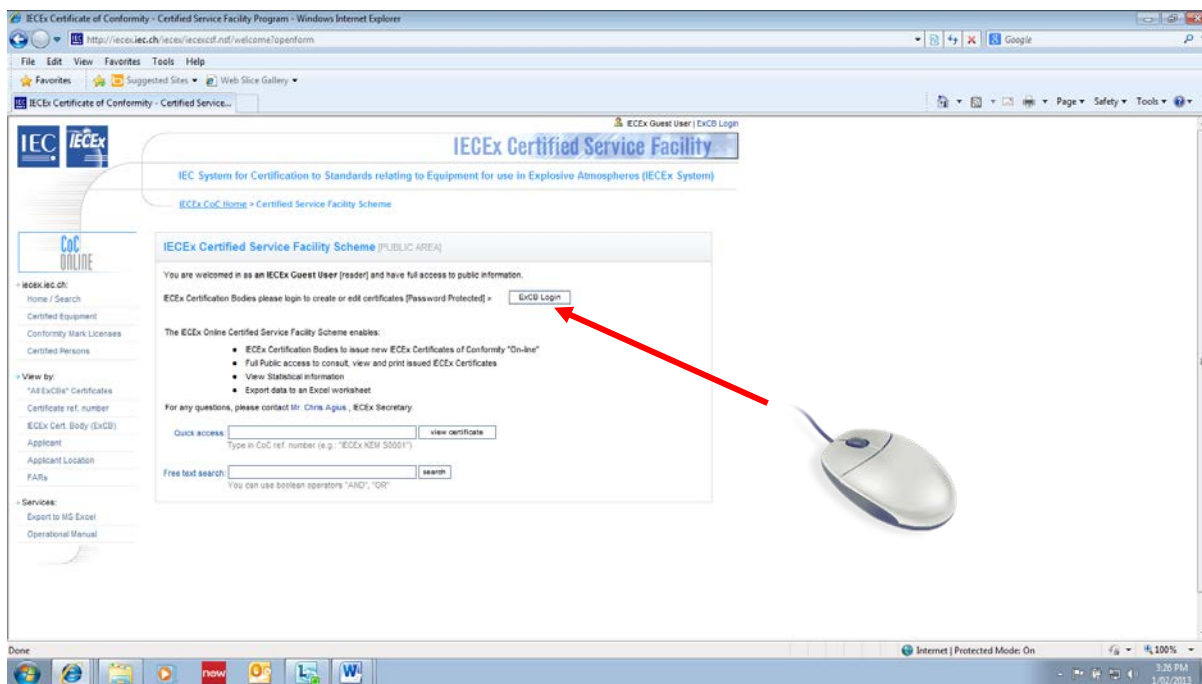
STEP 2: Select "Certified Service Facilities"



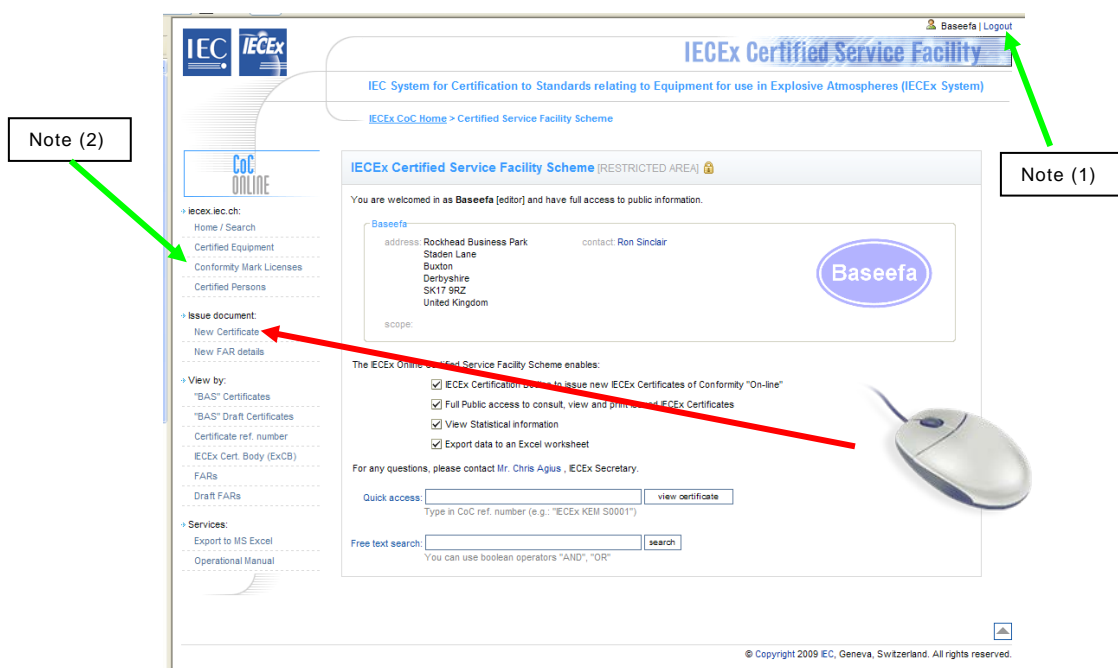
STEP 3: Select ExCB Login and then log on using assigned user name and password.

Note: that the two levels of Passwords for creating and issuing IECEX Certificates of Conformity are:

- Level 1: allows the user to create or edit a Draft Certificate ONLY
- Level 2: All the features of Level 1 with the additional ability to change the Status of a CoC (eg from "Draft" to "Current")



STEP 4: Select "New certificate"



Notes: (1) There is a "Logout" feature.
(2) There are links to other Ex Schemes

STEP 5: Fill in Applicant details and save

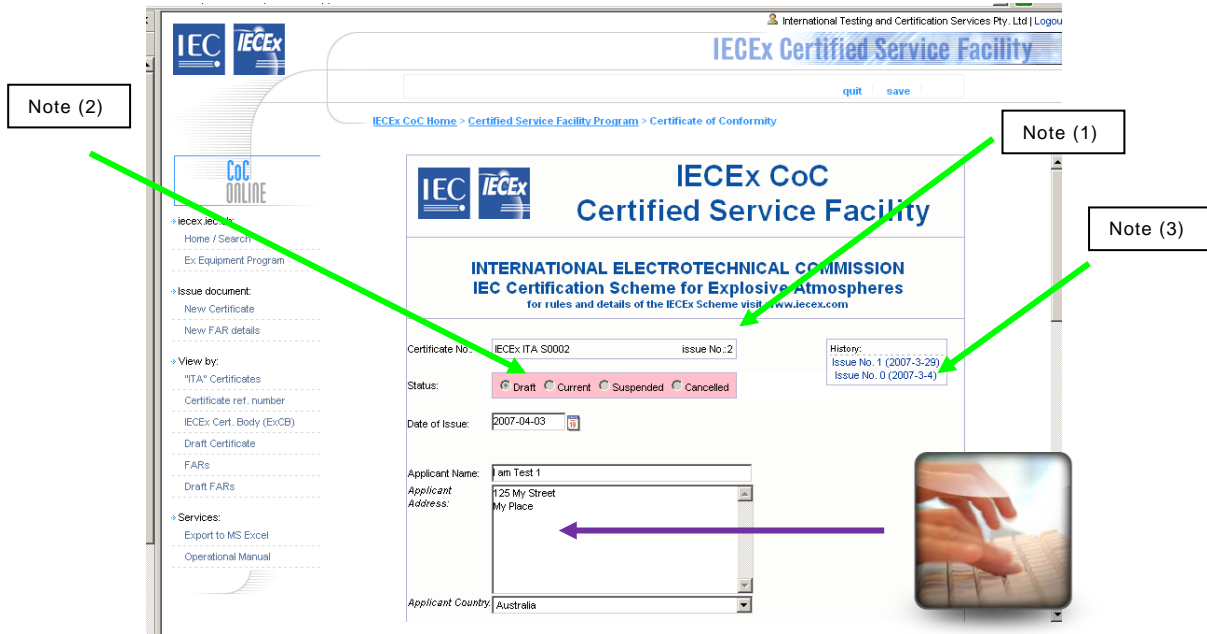


2.2 Creating a “New Issue” of an existing CoC

STEP 1: Open appropriate CoC and select “New issue”.

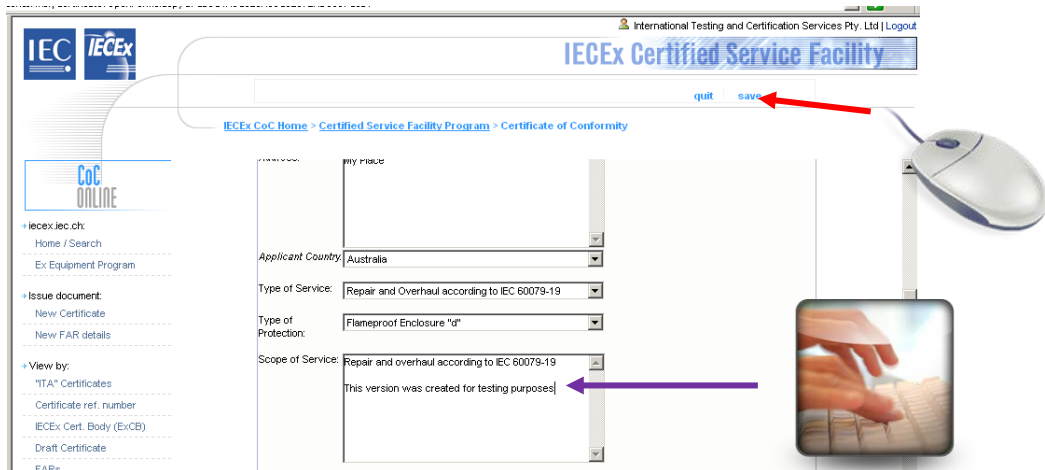


- Notes: (1) the Next issue Number is automatically assigned.
(2) the default Status is Draft - a Level 2 Password required to change Status from “Draft” to “Current”.
(3) the Original CoC (“Issue 0”) and subsequent Issues are retained on the System permanently (the History does not show until after the CoC is saved.)



Fill in required fields with details and include reasons for creating new version in “Scope of Service” field.

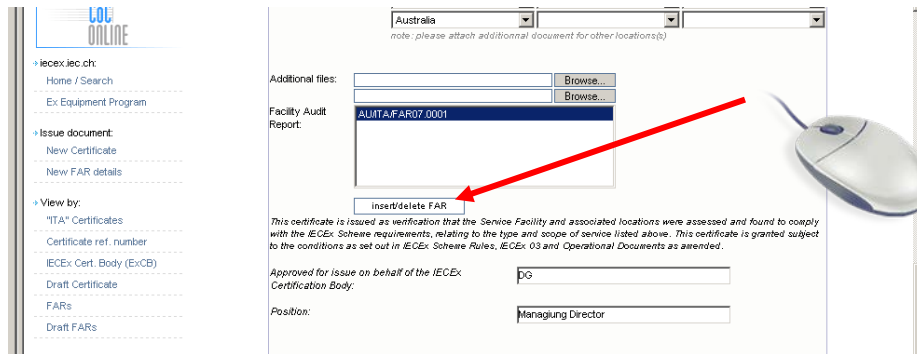
When all details are complete select “Save”.



2.3 Entering FAR details

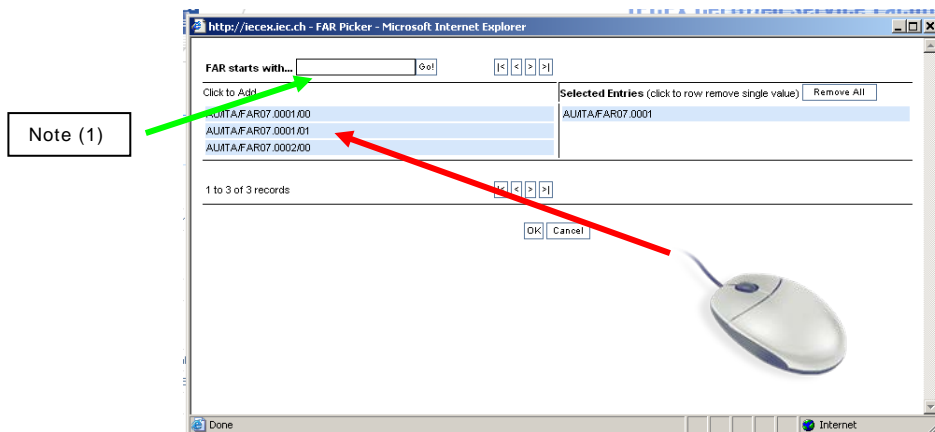
The system provides for the linkage of the Certificate to the FAR details that have been previously issued (made “Current”) on the “On Line” system.

When in the “creation” or “edit” mode to create an IECEX Certificate, selecting “Insert/Delete FAR” opens a window that allows for the linking of the IECEX CoC to the nominated FAR information. See below.



The FARs displayed as a list on the left side are those available for selection.

Note (1): There is a search feature to allow searching for a known FAR reference number.



3 Section 3 Entering Registration of FAR details on the IECEX “On-Line” Certificate of Conformity System

3.1 Registration of Newly Issued FAR

Step 1: Logon as normal with either level 1 or level 2. See Section 2.1, Steps 1, 2 & 3.

Select “New FAR details”



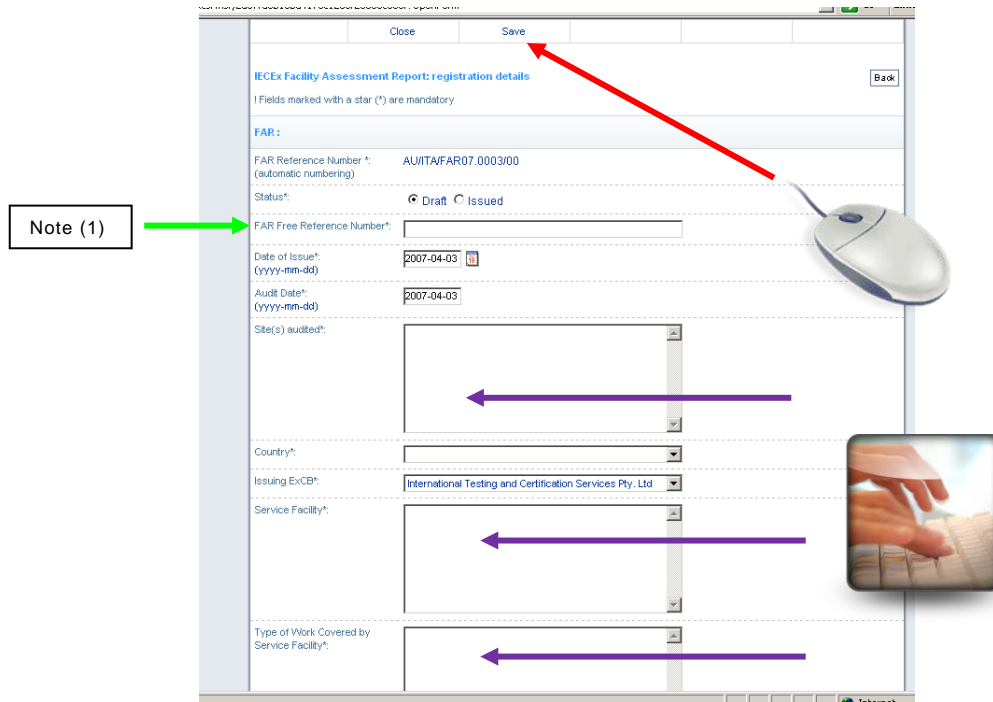
General Note:

The IECEX “On-Line” Certificate system allows for the “Live” entering of information and details of FARs as well as the IECEX Certificate of Conformity itself.

The system recognizes that FARs may be issued independently as well as in conjunction with the issuing of an IECEX Certificate of Conformity.

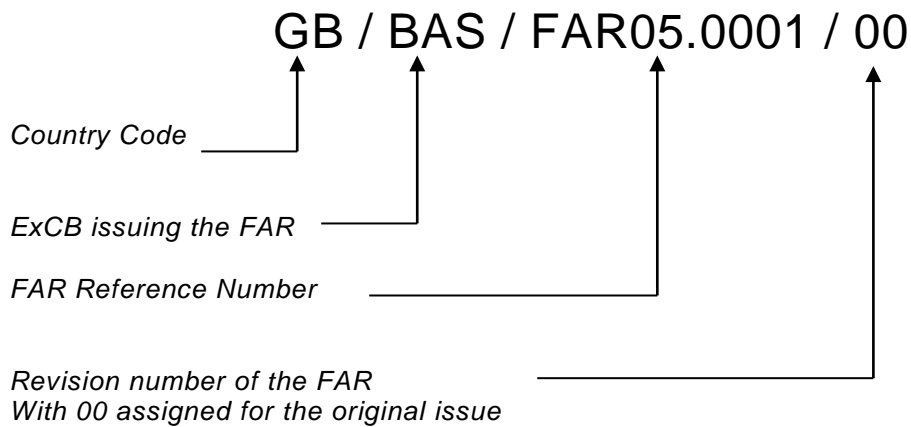
Furthermore, the system is structured on a “linkage” system whereby an IECEX Certificate of Conformity may be linked to one or more FARs. For example, where a Service Facility is to be covered by an IECEX Certificate of Conformity and has two or more locations, then there may be two or more FARs issued, one being for each location.

Step 2: Enter details for the various fields for newly created FAR and when completed, select “Save” from the top of the editing window.



Notes for the various Fields:

FAR Number This number is generated by the system with the following assigned attributes - an example of an ExTR issued in Great Britain (GB) by the ExCB “SGS Baseefa” follows:-



Note (1): The System allows for additional reference numbers to be added for internal ExCB use, but the System only lists according to the number generated by the system. In addition, there is a comments field where additional information may also be included, such as ExCB file numbers etc.

Status:

This feature allows the FAR to be saved as either a “Draft” or as “Issued”. However the FAR must be saved as “Issued” status before it can be linked to a CoC.

FAR Free Reference Number:

This is where an ExCB may wish to add numbers/letters or other characters to the FAR Reference Number generated by the “On-Line” CoC system.

The preferred situation is for the ExCB to adopt the FAR numbering system that is automatically generated by the system.

In any case, the system will not allow a deletion of, or change to, the FAR Number

Date of Issue:

The date of issue of the FAR is to be specified here. The system will default by showing the current day that the “New FAR” window was opened.

Audit Date:

This is the date that the audit was completed. In future and subsequent updates or “new versions” of the FAR this date and the date of issue will change while almost all other information will remain constant.

Valid until:

The expiry date of the validity of the FAR is to be entered.

According to [Clause 9.4 of IECEx 03-x](#), a FAR has a limited duration of three years – therefore the validity date of a FAR should be not more than three years after the date of audit of the service facility site(s) listed on the FAR.

It is not intended that this field be used to advise the date of the next annual surveillance, inspection and assessment audit (as required by Clause 9.6 of IECEx 03-x).

Sites audited:

This is where the site(s) must be clearly shown by using a street address. A Postal Box address for the manufacturer is not acceptable.

Issuing ExCB:

This is usually the ExCB that opened the “New FAR” details

Service Facility;

The name and contact address for the Service Facility must be recorded here. In most cases the site audited may also be the same address for the Applicant in which case this would be repeated.

Type of Work Covered by Service Facility;

[Self explanatory]

Comments;

(Optional Field)

This area is provided for the ExCB to record any relevant information that may assist the International Ex industry understand the Service and or the FAR.

Attachments;

This field enables the optional attachment of additional information or documents if necessary.

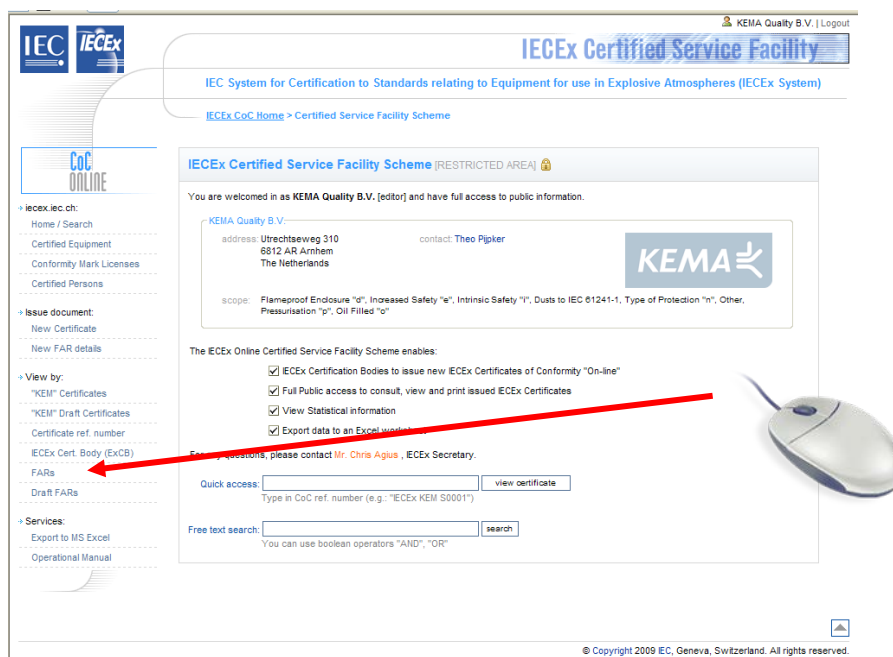
3.2 Supplementary changes/Updates to an Issued FAR

3.2.1 Application:

This section applies where it is necessary to issue a supplement (New version) change or update to an *Issued* FAR. In most cases the cause for the update will be to inform that a surveillance audit has been completed.

Step 1: Enter the IECEX “On-Line” Certificate system as per step 1 in Section 3.1 above.

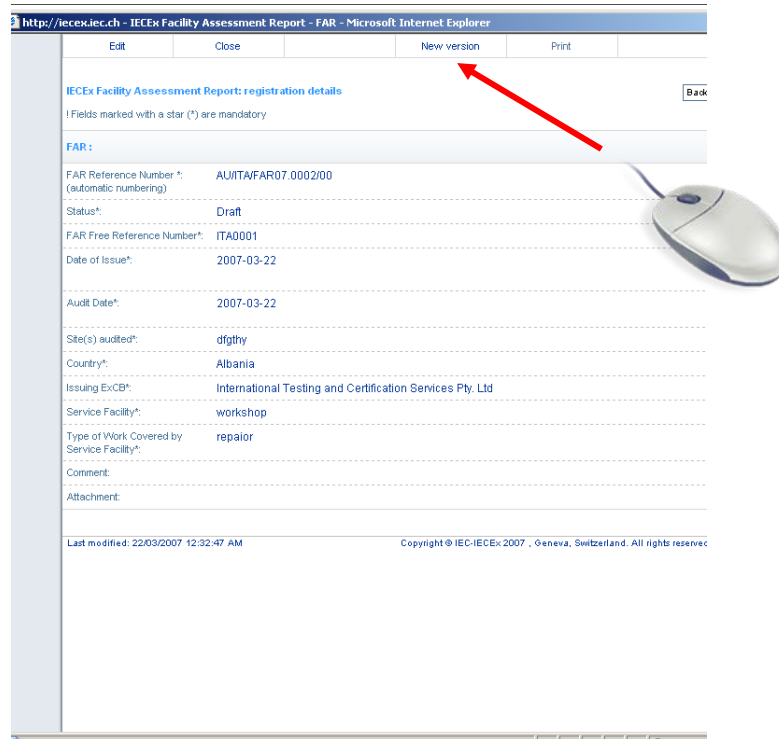
Then select “FARs” from the viewing options.



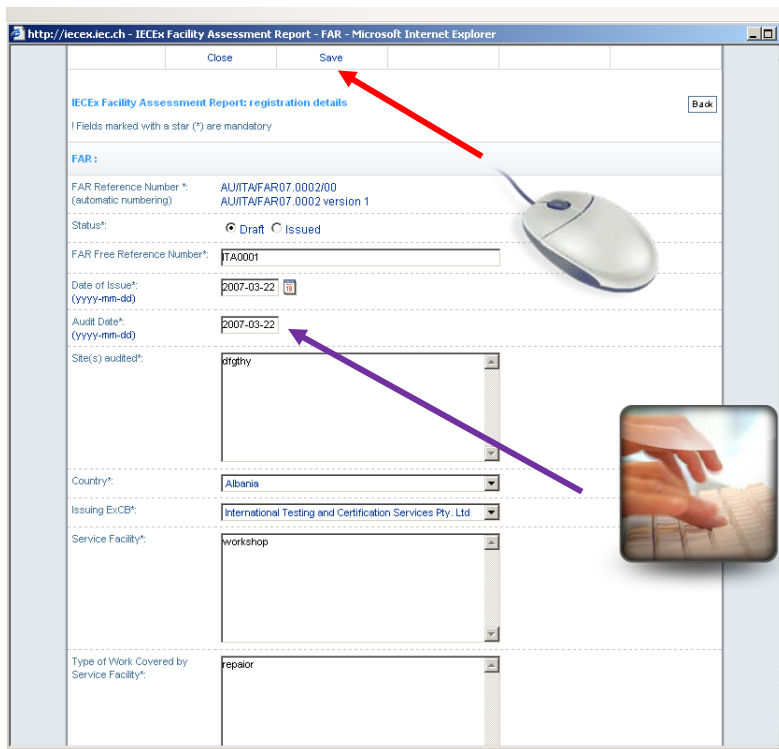
Step 2: Select the FAR that needs to be “Up dated” from the list of Issued FARs



Select "New Version"

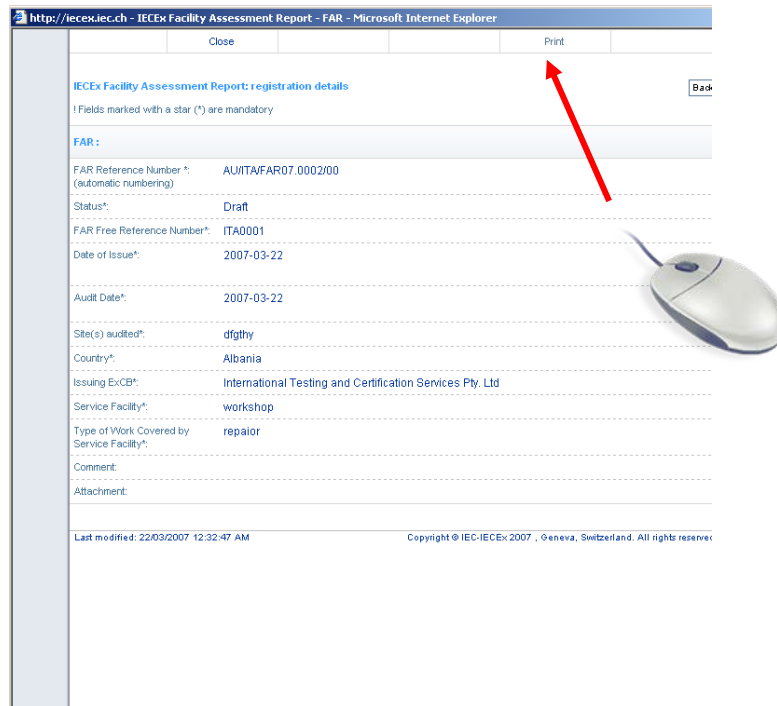


Step 3: Make the necessary changes, which will generally be the audit date. When completed select "Save"



3.2.2 Print feature

A FAR may be printed by using the “Print” feature at the top of the document.



End of Document
