IECEx OD 011-1

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IECEx Operational Document

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

OD 011-1

Guidance on Use of the IECEx Internet based "On-Line" Certificate of Conformity System

Part 1: General Information for IECEx On-line Certificate System (OCS) – Second Generation

CONTENTS

INTERNATIONAL ELECTROTECHNICAL COMMISSION

**IECEx Operational Document 011-1
Guidance on Use of the IECEx Internet based "On-Line" Certificate of Conformity
System   Part 1: General Information**

INTRODUCTION

This Operational Document provides guidance for all users of the second generation IECEx Internet based "On-Line" Certificate of Conformity System (OCS), including IECEx Members, Manufacturers, End Users, Consulting Engineers, Regulators, Insurance Companies and the general public.

OD 011 consists of six 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 (This part)
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
OD 011-4   Part 4: Creating IECEx Conformity Mark Licenses
OD 011-5   Part 5: Creating Certificates of Personnel Competence CoPCs
OD 011-10   Part 10: IECEx OCS Back Office

This Document covers General Information on the IECEx On-Line Certificates of Conformity System, including an explanation of the Number, Role and Status of IECEx CoCs, IECEx Conformity Mark Licenses and IECEx CoPCs and how to Access the "On-Line" System.

The following updated items are included in this Edition 6.3 of this Operational Document
* Guidance on and examples of use of the NEW Search Tool

Document History

Date	Summary
2003-08	Original Issue (Edition 1)
2007-04	Edition 2 Issued to cover the introduction of the Service Facility program
2008-08	Edition 3 Issued to cover the introduction of the Conformity Mark License
2009-05	Edition 3.1 This edition of IECEx OD 011-1 has been issued to take into account a number of editorial formatting changes. Information with regards to printer margins added to Clause 1.1
2010-08	Edition 4 issued to cover the introduction of Certificates of Personnel Competence. Also printing guidance included in clause 2.4
2015-01	Edition 4.1 issued to take into account a number of updates to this document and others in the OD 011 series. Changes are shown with a "Red" margin.
2016-6	Edition 5.0 issued to provide information about the methods of access and about the use of the new Public Search Tool feature
2016-08	Edition 5.1 issued to update screenshot images
2018-11	Edition 5.2 issued to update screenshot images and remove duplicated information from OD 011-2
2019-09	Edition 6.0 Complete revision for the Second Generation of IECEx On-line Certificate System
2019-10	Edition 6.1 created to provide additional guidance and to reflect updates to OCS operations
2020-08	Edition 6.2 publish to revise Clause 4.6 to clarify who can restore SOFT DELETED records to DRAFT
2022-02	Edition 6.3 publish to provide guidance on use of the new Search tools

Guidance on Use of the IECEx Internet based "On-Line" Certificate of Conformity System   Part 1: General Information

1   SECTION 1 GENERAL INFORMATION

1.1   General

The IECEx On-Line Certificate of Conformity System (IECEx OCS) provides for:
- the searching, viewing of the current Master version of IECEx Certificates of Conformity and the printing of uncontrolled copies (as PDF files) of these by public users ("IECEx Guest Users"), and
- the preparation, issue and maintenance by IECEx Certification Bodies (ExCBs) that have been successfully assessed and approved to operate within the IECEx System, by the IECEx Management Committee (ExMC).

IECEx Certificates of Conformity (IECEx CoC) include IECEx Equipment Certificates of Conformity, IECEx Service Facility Certificates of Conformity, IECEx Conformity Mark Licenses and IECEx Certificates of Personnel Competence (IECEx CoPC) and these are supported by other IECEx documents as outlined in Section 1 of this Operational Document.   These Certificates are supported by a range of reports (ExTR Summaries, QAR Summaries, FAR Summaries and PCARs) that are also viewable in the On-line System.

The nature of the IECEx OCS is that once an ExCB issues an IECEx CoC, IECEx Conformity Mark License or IECEx CoPC, the on-line version acts as the "Master Controlled" document which is controlled via strict password protocols. Each authorised staff member of an ExCB is assigned a unique USERNAME and PASSWORD in order to access the IECEx OCS with access via the URL below or via a link established from the IECEx Website.   Refer to Sections 2.1 and 2.2 of this Operational Document for more details regarding password protocols and access.

While industry and the public may view and print a copy of the CoC, License or CoPC from the website, they CANNOT alter the version that resides on the Website. Signatures **do not** appear, for privacy reasons, on any CoC, License or CoPC printed from the website. However, a signed printed copy may be obtained from the ExCB that issued the Certificate as an "uncontrolled copy".

The IECEx OCS website is located on the IEC Server which is backed up by the IEC Central Office, in accordance with their internal procedures, in the same manner as those for the backing up of all IEC Central Office information, including IEC Standards.

Note: The IECEx Certificate of Conformity System commenced in August 2003. All IECEx Certificates issued immediately following this are accessible via the "On-Line" Certificate System, similar to what we have today. Prior to 2003, the IECEx operated as a system for mutual recognition of Test Reports. With the commencement of the "On-Line" System in 2003, provision was made for IECEx Certification Bodies to "Register" these IECEx Test Reports on the System.

Guidance on the use of the IECEx OCS by *IECEx Guest Users* is provided in Section 3 of this Operational Document.

Guidance on the use of IECEx On-Line Certificate of Conformity System by *ExCBs* is provided in Section 2.3 of this Operational Document <u>and</u> in the following as appropriate:

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
OD 011-4   Part 4: Creating IECEx Conformity Mark Licenses
OD 011-5   Part 5: Creating Certificates of Personnel Competence (CoPCs)
OD 011-10   Part 10: IECEx OCS Back Office

1.2 Access

The ***IECEx Guest User*** section of the IECEx OCS is publicly accessible via https://www.iecex-certs.com and no password is needed to search, (you may wish to save this as a "Favourite") that opens at the Public Search Tool menu as shown in the following screenshot image (Guidance on the use of this menu is provided in **Section 3** of this Operational Document):
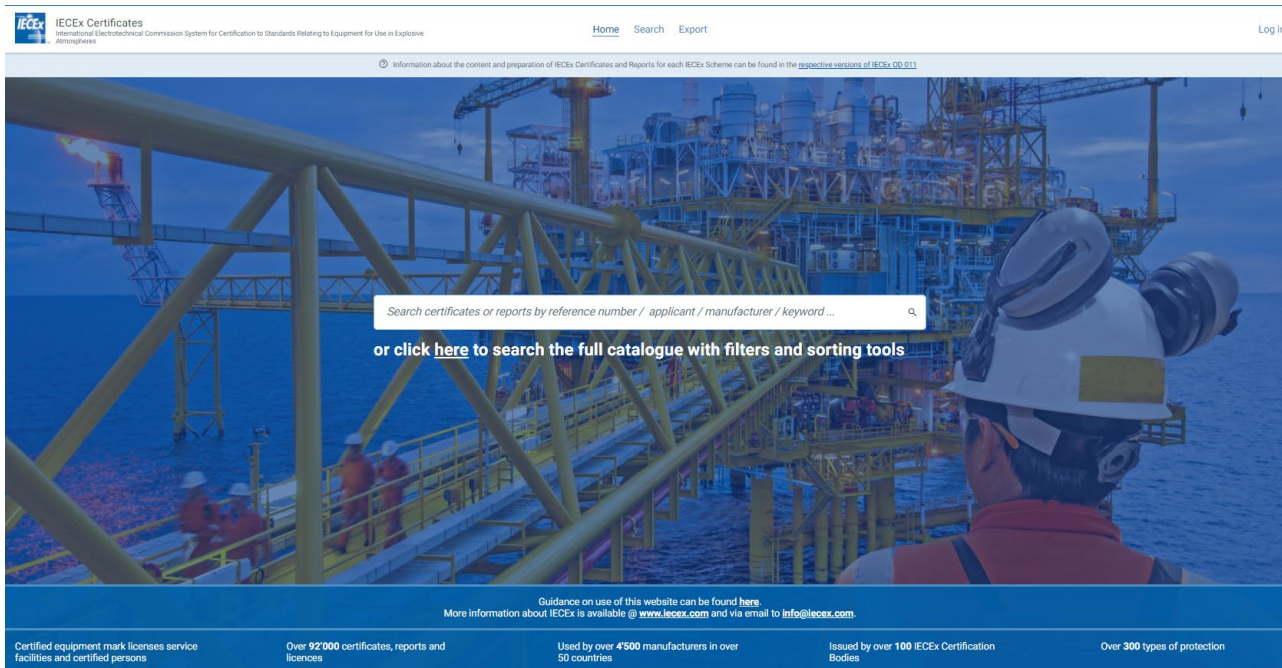
Method 2 Via either the link highlighted in the following screenshot image of *www.iecex.com*:
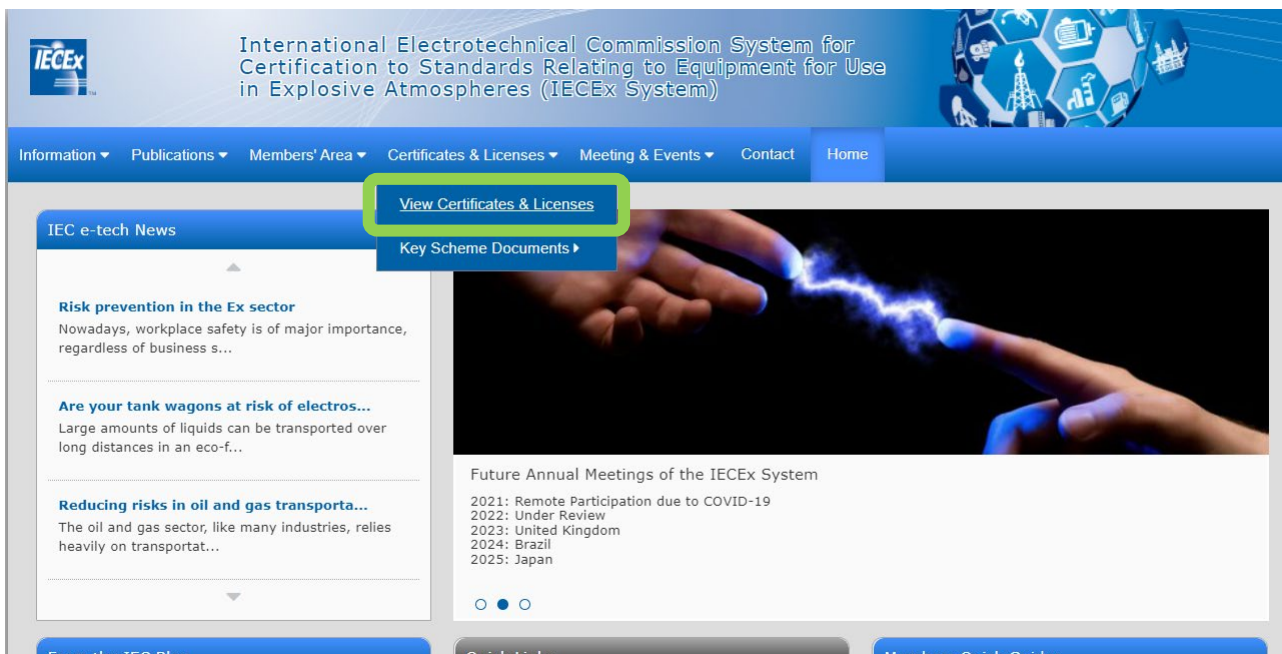
The **secured ExCB** section of the IECEx OCS is accessible via https://www.iecex-certs.com (you may wish to save this as a "Favourite" so that you can access it directly) where the ExCB will be requested to provide their assigned *Log In* details after which they will proceed to the screen (shown in the following screenshot images) from where the ExCB has access to various menu options and tools that assist the preparation and management of Certificates for each IECEx Scheme (more details are provided in the relevant OD 011 series document for each Scheme via the link here):

The login page for ExCBs is opened by clicking on the Log in icon in the upper right corner of the IECEx OCS Home Page.

User ID and passwords are assigned by the IECEx Secretariat and are assigned to an individual. The system has the ability to track, log and report each individual that has worked on a particular certificate or report – it is intended that this tool can be used to identify the need for training.

Access to the IECEx OCS requires a user to have a unique ID that includes a Login name, a password and a valid personal email address. IECEx Certification Bodies staff users, once authorised, are assigned as either *Admin* level access rights (that enables them to draft, edit, issue and 'soft delete' reports and certificates – this is equivalent to Level 2 access in the current IECEx OCS and is intended to be used by the person authorised (within the ExCB's management system) to formally issued certificates) or *Basic* level access rights (that enables them to only draft, edit and save drafts of reports and certificates – this is equivalent to Level 1 access in the current IECEx OCS). Confirmation that access for ExCB staff members is permitted is via (i) an icon with their name initials, and (ii) the appearance of the Create icon.
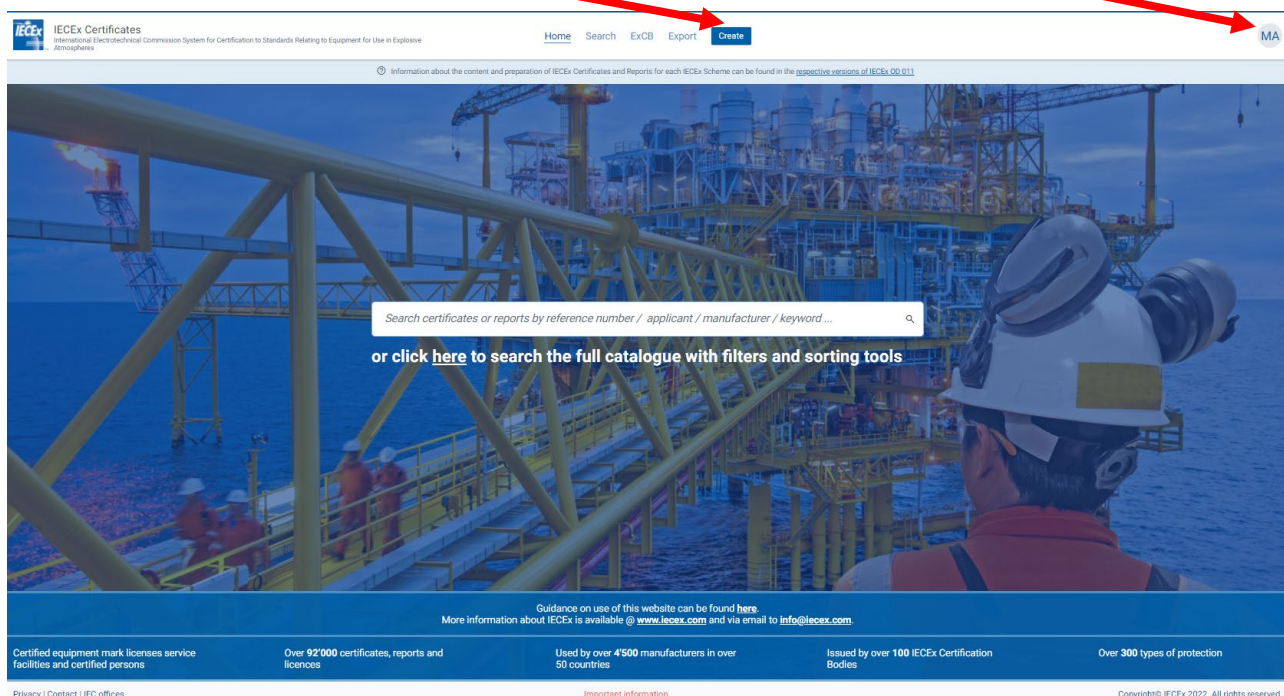
1.3 IECEx Equipment Certificate of Conformity (CoC) – Basic Information

The following is basic information only – for the purposes of ExCBs creating on-line CoCs more detailed information is provided in IECEx OD 011-2.

1.3.1 Number

The IECEx Equipment CoC Number assigned to each CoC comprises the following:

IECEx YYY ZZ.0000

Where:

IECEx = Identifies that the CoC has been issued in accordance with the IECEx Rules and Procedures

YYY = the issuing ExCB's identifier code

ZZ = the last two digits of the year of issue

0000 = the consecutive number of CoC issued in that year by the ExCB. This number is reset for each year

Notes:
1. The above CoC numbering complies with the Marking requirements of IEC 60079-0
2. The symbol "U", when used in conjunction with the CoC number, indicates that the apparatus is not intended to be used alone and requires additional consideration when incorporated into the final equipment. [Refer to IEC 60079-0 Definitions (3.14) regarding further details on "Ex components"]
3. The symbol "X", when used in conjunction with the CoC number, indicates that additional consideration may need to be given to the use or installation of the electrical apparatus.

1.3.2 Status and Role of the IECEx Equipment Certificate of Conformity (CoC)

From inception of the IECEx System, it has always been planned that the System would adopt the principles of an ISO Type 5 Product Certification Scheme, in compliance with ISO/IEC 17065. Therefore, it is important that the meaning and role of an IECEx CoC is clearly understood.

An Equipment Certificate of Conformity, as provided for under the IECEx System, requires the successful assessment of both sample testing and factory inspection/audit prior to the CoC being issued. In this sense the CoC is providing assurance that the manufacturer has the capability to produce a product, complying with standards listed on the certificate, consistently.

Therefore an IECEx Equipment CoC confirms that both:
1) Sample(s) tested were found to meet the Standards, as listed on the CoC; and
2) The manufacture's quality system meets IECEx requirements.

While the focus of the IECEx System is on the issuing of an IECEx Equipment CoC, the System provides flexibility to cater for markets where National Standards are not yet identical to IEC and where a local or national certificate is still required.

Therefore IECEx Certification Bodies (as listed on the IECEx Website) are able to issue manufactures with any of the following:

An I**ECEx Test Report (ExTR) Summary** which provides confirmation that a sample was tested and found to comply with the Standards shown in the Report.

An **IECEx Quality Assessment Report (QAR) Summary** which provides assurance that a manufacturer's quality system has been audited and found to meet IECEx requirements that are based on ISO 9001.

An **IECEx Equipment Certificate of Conformity (CoC)** which provides assurance that both an ExTR and QAR have been successfully completed, covering the product listed on the CoC and that the

ExCB, issuing the CoC, has placed the manufacturer under a surveillance program in accordance with IECEx requirements, to ensure that the manufacturer maintains compliance with IECEx quality system requirements and IECEx Rules.

Manufacturers issued with an IECEx Equipment CoC are able to include the IECEx Certification number on their products. Whilst a manufacturer with an IECEx Equipment CoC is permitted to use the CoC in advertising, IECEx Rules do not allow manufacturers to use ExTRs or QARs for promotion or advertising purposes.

In this sense, the IECEx Management Committee has determined that a CoC CANNOT be issued just on the basis of an ExTR alone. Rather, an ExTR can be issued for the purpose of seeking certification or approval under national or regional systems.

Once an IECEx CoC is issued it is necessary that the ExCB maintains surveillance of the manufacturer in order to have objective evidence that the manufacturer maintains the capability of producing Ex products that comply with the Standards listed on the IECEx CoC. Therefore, the IECEx CoC System provides for the following status of an IECEx Equipment CoC:
- Draft
- Current
- Suspended
- Cancelled

where …

Draft is the status during the preparation or drafting of an IECEx CoC by the ExCB. Only the ExCB that is creating the Draft and the On-Line System Administrator may view Draft CoCs. Neither other ExCBs nor the public can view Drafts prepared by another ExCB.

Current – Once approved for issue by the ExCB, a CoC is regarded as *Current* and remains so while the requirements of the IECEx System are being fulfilled by both Manufacturer and ExCB, including surveillance of the Manufacturer. A *Current* CoC can be viewed by anyone.

Suspended – Once a CoC is issued and the ExCB conducts surveillance of the manufacturer, there may be a need to "temporarily" Suspend an IECEx CoC. In such cases it will be necessary to contact the IECEx Secretariat to reset the Status of the IECEx CoC to "*Suspended*". During the time the IECEx CoC is suspended the Manufacturer cannot apply the IECEx certification number to the products nor can they claim that such products are covered by the IECEx CoC. A *Suspended* CoC does not mean that Ex products produced prior to the suspension are no longer in compliance. *Suspended* CoCs can be viewed by anyone. Once the reasons for suspension are resolved the *Suspended* CoC can be restored to *Current*. IECEx OD 209 provides more details about the suspension of Certificates.
Note: When a CoC is suspended an explanatory paragraph is added to the "Equipment" field of the CoC.

Cancelled – Where there is a need to cancel an IECEx CoC such as-
a) a Manufacturer no longer wishes to continue with production of the Ex product, listed on the IECEx CoC; or
b) an ExCB has a need to cancel an IECEx CoC;
it will be necessary to contact the IECEx Secretariat to reset the Status of the IECEx CoC to "Cancelled". As a *Cancelled* CoC CANNOT be restored to *Current*, the issues to be considered when cancelling an IECEx CoC include the following:
i) Date of cancellation.
ii) If any previously supplied products are impacted by the cancellation.
iii) *Cancelled* IECEx CoCs remain on the "On-Line" System and can be viewed by anyone.
Note: When a CoC is *Cancelled* an explanatory paragraph is added to the "Equipment" field of the CoC

IECEx OD 209 provides more details about the suspension and cancellation of Certificates.

The status options available to ExCBs are presented in the "Update Status" window when editing a certificate or report – refer example (that shows the full range of options – the actual options vary according to access level rights) below:
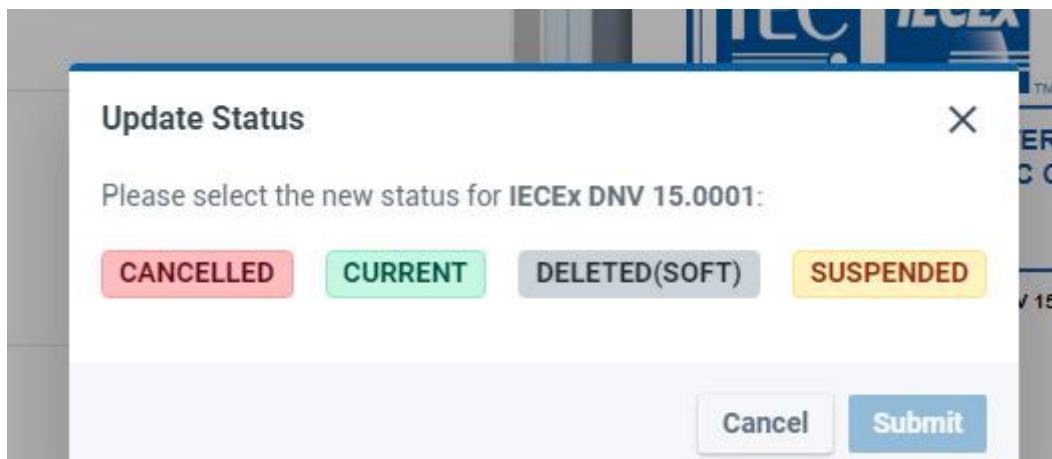
The **"Deleted(Soft)"** option is provided to logged-in ExCBs to enable them to remove unwanted **drafts** of certificates and reports (for example, those created in error or where the applicant has withdrawn their application for certification) from the areas of the IECEx OCS that are accessible to public / guest users and ExCBs.

Certificates that have been set to status of "Deleted(Soft)" do not appear in the results of searches and are only accessible by the IECEx Secretariat. Section 4.6 of this Operational Document provides more details about deleting.

1.4 IECEx Service Facility Certificate of Conformity (CoC) – Basic Information

The following is basic information only – for the purposes of ExCBs generating CoCs, more detailed information is provided in IECEx OD 011-3.

1.4.1 Number

The IECEx Service Facility CoC Number assigned to each CoC comprises the following:

IECEx YYY S0000

Where:

IECEx = Identifies that the CoC has been issued in accordance with the IECEx Rules and Procedures

YYY = the issuing ExCB's identifier code

S0000 = the consecutive number of the CoC issued by the ExCB.

(Note: The above CoC numbering complies with the Marking requirements of IEC 60079-0)

1.4.2 Status and Role of the IECEx Service Facility Certificate of Conformity (CoC)

A Service Facility Certificate of Conformity, as provided for under the IECEx System, requires the successful Inspection/Service Facility audit prior to the CoC being issued. In this sense the CoC is providing assurance that the Service Facility Location has the capability to provide a Type of Service for the Type of Protection listed on the CoC, consistently.

Therefore IECEx Certification Bodies (as listed on the IECEx Website) are able to issue a Service Facility with the following:

An **IECEx Facility Assessment Report (FAR)** which provides assurance that a Service Facility Location quality system has been audited and found to meet IECEx requirements, which are based on ISO 9001:2000.

An **IECEx Service Facility Certificate of Conformity (CoC)** which provides assurance that a FAR have been successfully completed, covering the type of service listed on the CoC and that the ExCB, issuing the CoC, has placed the locations covered by the CoC under a surveillance program in accordance with IECEx requirements, to ensure that the Service Facility maintains compliance with IECEx quality system requirements and IECEx Rules.

Once an IECEx Service Facility CoC is issued it is necessary that the ExCB maintains surveillance of the Service Facility Location in order to have objective evidence that the locations covered by the CoC maintain the capability of providing the Type of Service listed on the IECEx Service Facility CoC. Therefore, the IECEx CoC System provides for the following status of an IECEx Service Facility CoC:
- Draft
- Current
- Suspended
- Cancelled

where …

Draft is the status during the preparation or drafting of an IECEx CoC by the ExCB. Only the ExCB that is creating the Draft and the System Administrator may view Draft CoCs. Neither other ExCBs nor the public can view Drafts prepared by another ExCB.

Current – Once approved for issue by the ExCB, a CoC is regarded as *Current* and remains so while the requirements of the IECEx System are being fulfilled by both Service Facility provider and ExCB,

including surveillance of the Location(s) covered by the CoC. A *Current* CoC can be viewed by anyone.

Suspended – Once a CoC is issued and the ExCB conducts surveillance of the location(s) covered by the CoC, there may be a need to "temporarily" Suspend an IECEx CoC. In such cases it will be necessary to contact the IECEx Secretariat to reset the Status of the IECEx CoC to "*Suspended*". During the time the IECEx CoC is *Suspended* the Applicant cannot claim that the particular Type of Service is covered by the IECEx CoC. A *Suspended* CoC does not mean that the Type of Service provided prior to the suspension is no longer in compliance. *Suspended* CoCs can be viewed by anyone. Once the reasons for suspension are resolved the *Suspended* CoC can be restored to *Current*.

Cancelled – Where there is a need to cancel an IECEx CoC such as an-
c) Applicant no longer wishes to continue with the Type of Service, listed on the IECEx CoC; or

d) ExCB has a need to cancel an IECEx CoC;

 it will be necessary to contact the IECEx Secretariat to reset the Status of the IECEx CoC to "Cancelled". As a *Cancelled* CoC CANNOT be restored to *Current*, the issues to be considered when cancelling an IECEx CoC include the following:

i)   Date of cancellation.

ii)   If any previously supplied services are impacted by the cancellation.

iii)   Cancelled IECEx CoCs remain on the "On-Line" System and can be viewed by anyone.

The status options available to ExCBs are presented in the "Update Status" window when editing a certificate or report – refer example below:
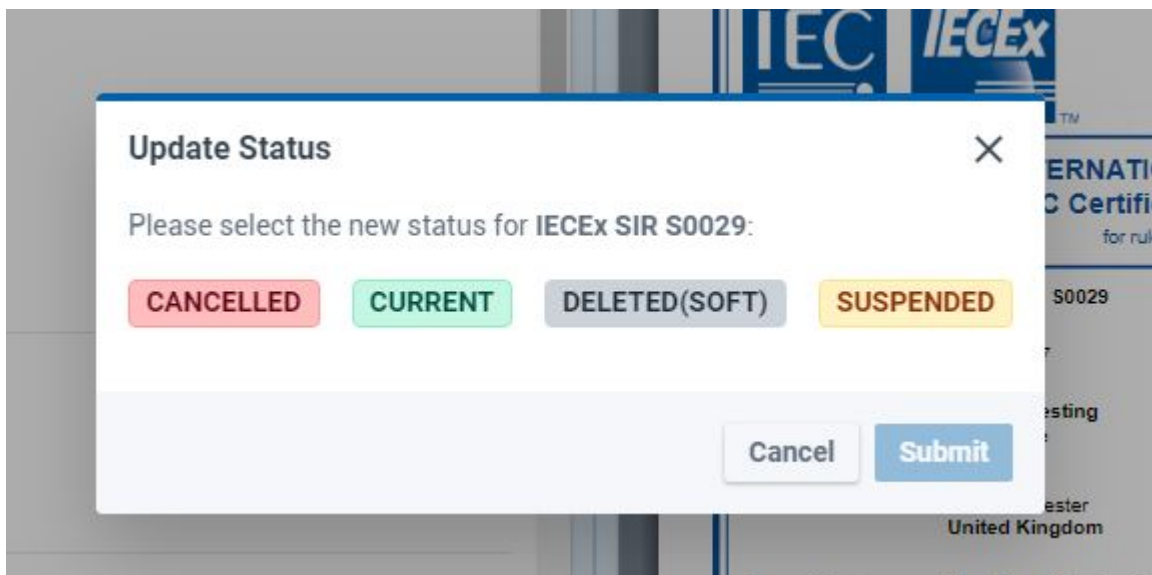
1.5 IECEx Conformity Mark License – Basic Information

The following is basic information only – more detailed information is provided in IECEx OD 011-4.

1.5.1 Number

The IECEx Conformity Mark License Number assigned to each License comprises the following:

ZZZ000

Where:

ZZZ = the issuing ExCB's identifier code

000 = the consecutive number of the License issued by the ExCB.

1.5.2 Status and Role of the IECEx Conformity Mark License

A Conformity Mark License, as provided for under the IECEx System, requires the successful review by the Mark committee, ExMarkCo, of the procedures of an existing ExCB prior to being approved to issue Conformity Mark Licenses. Such accepted ExCBs (as listed on the IECEx Website) are able to issue, to an approved Manufacturer, a Conformity Mark License to use the IECEx Conformity Mark.

An IECEx Conformity Mark provides assurance that a Manufacturer holds an IECEx Conformity Mark License and a valid IECEx Certificate of Conformity (CoC) for each product covered by the IECEx CoCs, listed in the Conformity Mark License Schedule. An IECEx Conformity Mark License Schedule may only list CoCs which have been issued by the same ExCB that issued the IECEx Conformity Mark License.

Once an IECEx Conformity Mark License is issued it is necessary that the ExCB maintains surveillance of the Manufacturer in order to have objective evidence that the Conformity Mark is being used within the IECEx System Rules. Therefore, the IECEx System provides for the following status of an IECEx Conformity Mark License:
- Draft
- Current
- Suspended
- Cancelled

where …

Draft is the status during the preparation or drafting of an IECEx Conformity Mark License by the ExCB. Only the ExCB that is creating the Draft and the System Administrator may view Draft Licenses. Neither other ExCBs nor the public can view Drafts prepared by another ExCB.

Current – Once approved for issue by the ExCB, a License is regarded as *Current* and remains so while the requirements of the IECEx System are being fulfilled by both the Manufacturer and ExCB, including surveillance of the Manufacturer covered by the License. A *Current* License can be viewed by anyone.

Suspended – Once a License is issued and the ExCB conducts surveillance of the Manufacturer covered by the License, there may be a need to "temporarily" Suspend a License. In such cases it will be necessary to contact the IECEx Secretariat to reset the Status of the License to "Suspended". During the time the License is suspended the Applicant cannot claim that a particular product is covered by the Mark. A *Suspended* License does not mean that the Mark applied prior to the suspension is no longer in compliance. *Suspended* Licenses can be viewed by anyone. Once the reasons for suspension are resolved the *Suspended* License can be restored to *Current*.

Cancelled – Where there is a need to cancel a License such as-
a) an Applicant no longer wishes to continue with the Mark on all the products, listed on the License; or
b) an ExCB has a need to Cancel a License;

it will be necessary to contact the IECEx Secretariat to reset the Status of the License to "*Cancelled*". As a *Cancelled* License CANNOT be restored to *Current*, the issues to be considered when cancelling an IECEx License include the following:

i)   Date of cancellation.

ii)   If any previous applications of the Mark are impacted by the cancellation.

iii) Cancelled Licenses remain on the "On-Line" System and can be viewed by anyone.

1.6   IECEx Certificate of Personnel Competence (CoPC) – Basic Information

The following is basic information only – more detailed information is provided in IECEx OD 011-5.

1.6.1 Number

The IECEx Certificate of personnel competence CoPC Number assigned to each CoPC comprises the following:

IECEx **CP AAAZZ.0000**

Where:

AAA = the issuing ExCB's identifier code

ZZ.0000 = the consecutive number of the CoPC issued by the ExCB where ZZ is the last two digits of the year of issue.

1.6.2 Status and Role of the IECEx Certificate of Personnel Competence (CoPC)

A Certificate of Personnel Competence, as provided for under the IECEx System, requires the successful assessment of a person and the preparation of an IECEx Personnel Competence Assessment Report (PCAR) prior to the issue of a CoPC.

An IECEx Certificate of Personnel Competence certifies that a Competent Person identified on the CoPC has been independently assessed and verified as competent in the specific competence listed in the CoPC and complies in all respects with the IECEx requirements concerning CoPC procedures.

Accepted IECEx Certification Bodies, as listed on the IECEx Website, are able to issue Competent Persons with the following:

An **IECEx Personnel Competence Assessment Report (PCAR)** which provides assurance that a competent person has been independently assessed and found to comply with the IECEx CoPC requirements.

An **IECEx Certificate of Personnel Competence (CoPC)** which provides assurance that a PCAR have been successfully completed, covering the specific competence listed on the CoPC and that the ExCB, issuing the CoPC, has placed the Certified person covered by the CoPC under a surveillance program in accordance with IECEx requirements, to ensure that the Competent Person maintains continuity of practice in the Ex field and compliance with the IECEx Rules.

Once an IECEx Certificate of Personnel Competence CoPC is issued it is necessary that the ExCB maintains surveillance of the Competent Person in order to have objective evidence that the Competent Person covered by the CoPC maintains the Competence listed on the CoPC. Therefore, the IECEx System provides for the following status of an IECEx Certificate of Personnel Competence CoPC:
- Draft
- Current
- Suspended

- Cancelled
- Expired

where …

Draft is the status during the preparation or drafting of an IECEx CoPC by the ExCB. Only the ExCB that is creating the Draft and the System Administrator may view *Draft* CoPCs. Neither other ExCBs nor the public can view Drafts prepared by another ExCB.

Current – Once approved for issue by the ExCB, a CoPC is regarded as *Current* and remains so while the requirements of the IECEx System are being fulfilled by both the Competent Person and ExCB. A *Current* CoPC can be viewed by anyone.

Suspended – Once a CoPC is issued and the ExCB conducts surveillance of the Competent Person covered by the CoPC, there may be a need to "temporarily" Suspend an IECEx CoPC in accordance with the IECEx Rules IECEx 05. In such cases it will be necessary to contact the IECEx Secretariat to reset the Status of the IECEx CoC to "*Suspended*". During the time the IECEx CoC is *Suspended* the Applicant cannot claim the particular competence covered by the IECEx CoPC. A *Suspended* CoPC does not mean that the Competence listed prior to the suspension are no longer in compliance. *Suspended* CoPCs can be viewed by anyone. Once the reasons for suspension are resolved the *Suspended* CoPC can be restored to *Current*.

Cancelled – Where there is a need to cancel an IECEx CoPC such as an-

a)   Applicant no longer wishes to continue to be considered as complying with the competence listed on the IECEx CoPC; or

b)   ExCB has a need to cancel an IECEx CoPC in accordance with the IECEx Rules IECEx 05;

it will be necessary to contact the IECEx Secretariat to reset the Status of the IECEx CoPC to "*Cancelled*". As a *Cancelled* CoPC CANNOT be restored to *Current*, the issues to be considered when cancelling an IECEx CoPC include the following:

i)   Date of cancellation.

ii)   If any previous competence is impacted by the cancellation.

iii)   Cancelled IECEx CoPCs remain on the "On-Line" System and can be viewed by anyone.

Expired – where the validity date of the supporting PCAR has passed.

The status options available to ExCBs are presented in the "Update Status" window when editing a certificate or report – refer example below:
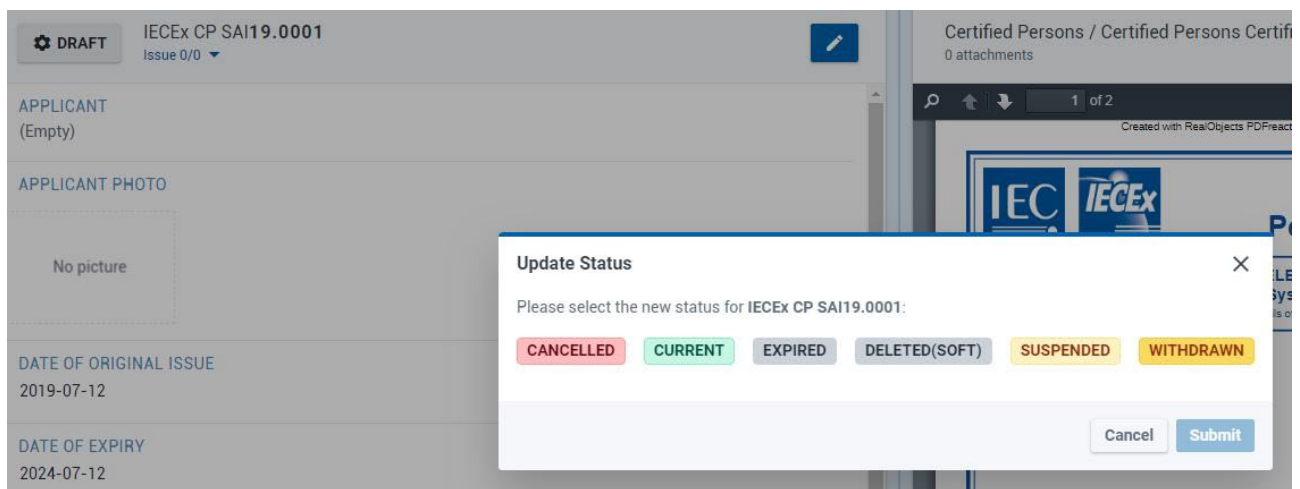
Withdrawn – this is typically used to remove an unwanted report from the system and is also available in the IECEx CoPC and EFOC Scheme for use where other options are not appropriate.

2   OPERATIONAL INFORMATION

2.1   Types of Access

There are three (3) types or levels of access to the IECEx CoC System:

- IECEx Guest User
- Individual secure access by authorised staff of ExCBs using access details provided by the IECEx Secretariat
- Access by the IECEx Secretariat as the IECEx OCS System Administrator

IECEx Guest User – This is the term applied to anyone accessing the System other than an ExCB or the System Administrator. IECEx Guest Users include manufacturers, service facility providers, end users, regulators, insurers and the general public. IECEx Guest Users **do not** require a password to gain access to conduct the following:
- Search for, view and print Current, Suspended and Cancelled IECEx CoCs, Licenses or CoPCs.
- Conduct searches using the new "Public Search Tool" (refer to Section 3 of this Operational Document for guidance on use of this tool)
- Export Certificates or Licenses to an Excel file.

Authorised staff of ExCBs have access to the "Front Office" of the OCS and this enables all of the capability provided to Guest Users PLUS the ability to create, edit and manage IECEx Certificates and Reports for the IECEx Schemes for which the ExCB has been formally accepted by the IECEx Management Committee.   There are two levels of ExCB staff access – these are:
- *ExCB Basic* that enables the creation and saving of draft Certificates and Reports
- *ExCB Admin* that provides ExCB Basic access PLUS the ability to set Certificates and Reports to status of Current, Issued or soft deleted.   This level of user also has access to the IECEx OCS 'Back Office' (more detail about this can be found in IECEx OD 011-10)

The access to the IECEx OCS (both 'Front Office' and 'Back Office') for **IECEx Secretariat** staff requires the *IECEx Secretary* permission option to be ticked when setting up persons who are IECEx Secretariat staff.

Users with access to the 'Back Office' can enter this area by selecting the Back Office icon that is displayed when they are logged-in and then click on their user ID icon (that is AW in the image below) in the upper right of screen as shown below:
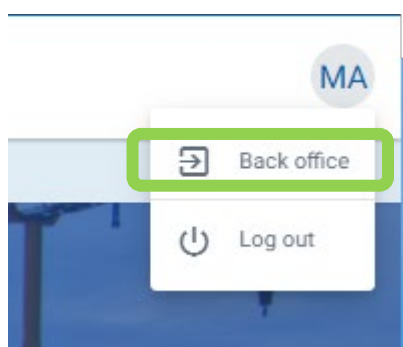
The same process as above is used to the access the icon to be used to Log out of the IECEx OCS.

Users can change their password via https://www.iec.ch/dyn/www/f?p=iecwebsite:passwordrecovery

3   IECEx GUEST USER TOOLS

The second generation IECEx On-line Certificate System that enables anyone to search for, view on-line and download PDF format copies of the current, Master versions of all Certificate and supporting Reports that have been issued by IECEx Certification Bodies (ExCBs) since the launch of the IECEx System.

Additional access to secured and confidential files is available via Log in for ExCBs however the freely available information that includes all technical details of the issued Certificates and Reports should be sufficient for the needs of manufacturers, purchasers, installers, operators and regulators.   If you need more information or clarification it is recommended that you contact the issuing ExCB in the respective IECEx Scheme …. for example, the details of all ExCBs authorised to issue IECEx Certificates of Conformity for Equipment their details are all available @ https://www.iecex.com/information/excbs/httpwww-iecex-comdirectorybodiesbodies1-aspid5/
[click on the hyperlink in the Identifier column at this linked page to display their contact details, scope of capability etc]

If you have a copy (electronic, paper or otherwise) of a Certificate or Report claimed to be IECEx BUT cannot find this on the IECEx On-line Certificate System then you should NOT trust this as valid.

Please note that any document copies downloaded from the IECEx On-line Certificate System must be considered as *un-controlled copies* that cannot be relied upon as current in the future. The on-line version is the current and Master version and should always be consulted if you need confirmation of certification coverage or status.

3.1   Use of Home Page Search tools

The second generation Search tool in the IECEx On-line Certificate System enables anyone to search for, view on-line and download PDF format copies of all issued, suspended or cancelled certificates and reports by

1.   Direct entry of specific details about the certificate or report's identity or content via entry in the search field shown below

OR

2.   A search of the full catalogue of IECEx Certificates and Reports using a range of search criteria and combinations of these criteria as explained below

a) First click here to open the menu for a criteria based search
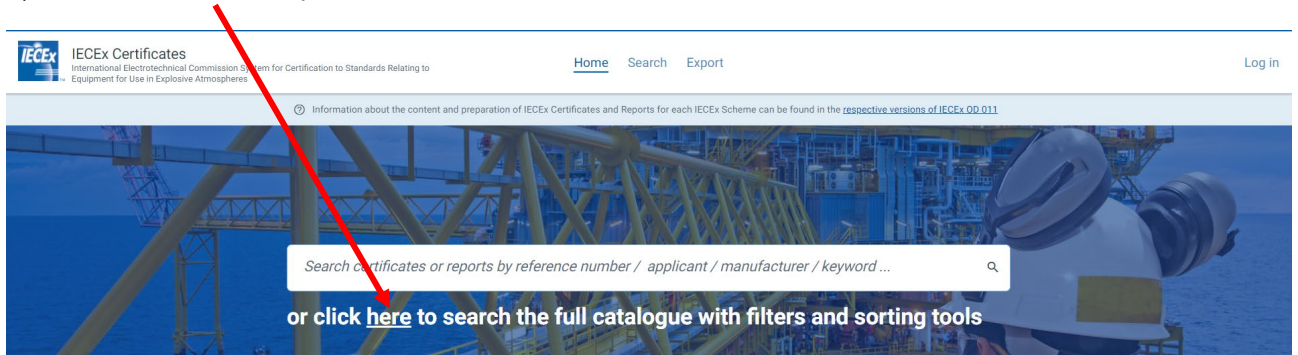
b) Then select the search criteria in each of the criteria categories as shown in the examples below.   Note that some criteria may be pre-selected as defaults to assist users to conduct common types of searches …. If you do NOT want to use these criteria they can be deselected and other alternative criteria can be selected.

Also note that as you select and unselect criteria you will observe that the number of certificates or reports that satisfy these are provided here and it is recommended that you add as many relevant criteria as possible so that the search results are not excessive

Note that if a criteria option is displayed in black there may be certificates that satisfy this and other previously selected criteria. Alternatively, if the option is displayed in grey as shown above, this means that that there are no certificates that satisfy this and other previously selected criteria.   In the example above, the use of grey for *BAS – Baseefa* indicates that this

ExCB is not an ExCB in the Certified Persons Scheme or that (as indicated by the (0) beside *BAS -Baseefa*) this ExCB has not issued any Certified Persons Certificate or Reports.

Search results for certificates and reports satisfying the selected criteria are updated as criteria are selected or unselected and once you are satisfied with your search outcome you will see a view page of a <u>sample</u> of the search results through which you can scroll up or down AND you can also

1. Sort all results by a range of options as shown below
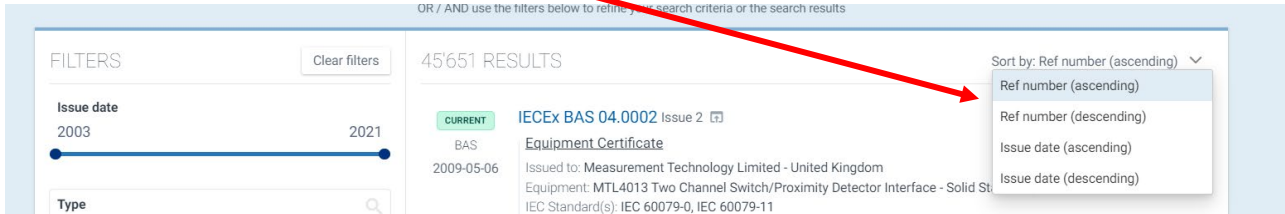
2. and/or add results visible and selectable for detail display (via clicking on the hyperlink of the certificate or report identity)

to the view page list by use of the Load icon above which the number of results that can be added to the view page is summarised as XXXX MORE RESULTS (Note that each use of the Load icon will add more results to the view page and reduce the number of MORE RESULTS)
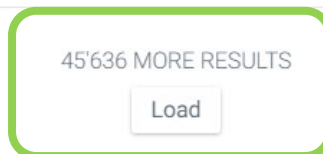
To conduct a different search or to make major changes to a search criteria set, use of the Clear filters button, as shown below, is recommended:
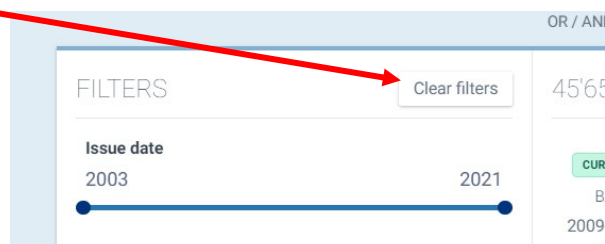
3.2 Use of Home Page Export tools

Facilities exist on the Home Page to export summaries of data stored in the database that supports the IECEx OCS.   This is available via the icon in the menu bar of the Home Page
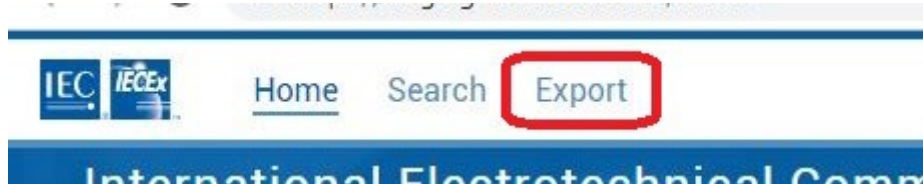
Clicking on the Export button will display the following window from which the export parameters can be selected by clicking on the *black text* items and this will then open a list of available options within the search fields
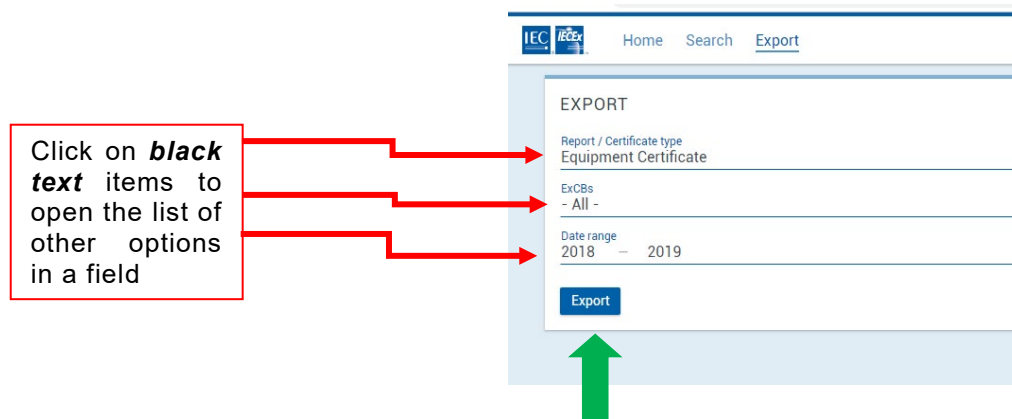
After selecting search criteria click on the Export button.   The results of the export process will be presented as an Excel file (.XLS) and then the sorting and filtering tools available in Excel can then be used for further analysis of the search results.

NOTE: that some Export results (mainly for Certificates) include a column titled "Certificate Web Link" and the contents of this column are hyperlinks to a PDF copy of the document. These hyperlinks can be copied and used in other websites, documents etc as a way of direct access to details on the IECEx OCS.

3.3 Use of IECEx OCS "Back Office"
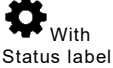
Logged in ExCBs also have access to advanced filtering tools in the OCS "Back Office" and additional information about Certificate and Report content as shown below.   The use of the OCS "Back Office" is explained in a separate IECEx Operational Document, IECEx OD 011-10.
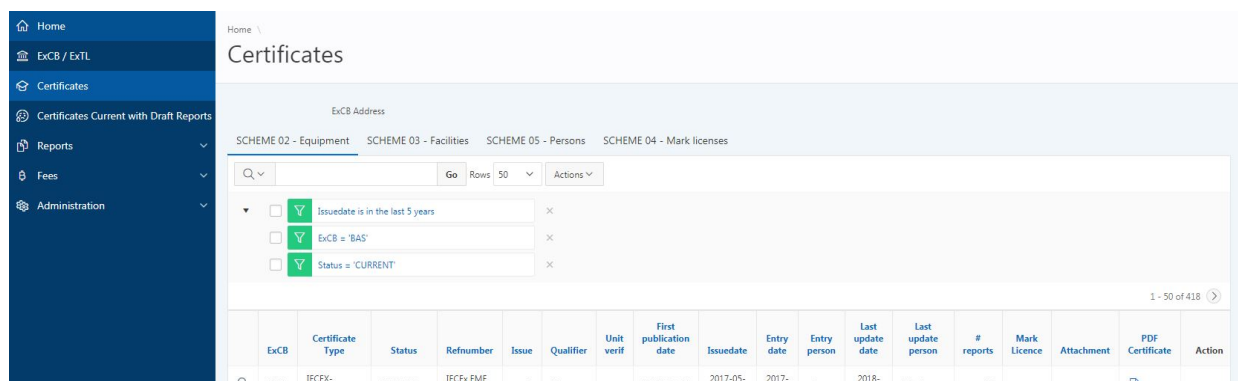
4   Creating and editing Certificates and Reports (QAR Summary, ExTR Summary, FAR Summary & PCARs)

4.1   Iconography

The following Table defines and explains the function of Icons commonly used in the System:

Icon	Function(s)
✎	Ability to edit content in the field or row adjacent to this icon. This is applicable to records, documents, certificates and reports
Q	1. Ability to view (only) the adjacent record, document, certificate or report 2. Ability to search for text in box adjacent to this icon
Q V	Ability to search for text in box adjacent to this icon and a list of standard search criteria / fields exists (click on icon to load and display list of search criteria for selection)
+	Create new version or issue of the current certificate or report when logged in as the issuing ExCB for the current certificate or report
⧉	Open adjacent file in a new window (in addition to the current window)
▶	Insert item selected in left hand side screen list into selected item summary field on right hand side of screen
◀	Remove selected item from summary field in right hand side of screen and return to left hand side screen list
▶▶|	Insert ALL items in left hand side screen list into selected item summary field on right hand side of screen
|◀◀	Remove ALL items from summary field in right hand side of screen and return to left hand side screen list
🗑	Remove ALL items from summary field in right hand side of screen and return to left hand side screen list
⚙ With Status label	1. To view status of certificate or report 2. When logged in as Administrator, ExCB Admin or ExCB Basic …to open window that shows status options and enables change of status of certificate or report
⬈	Add extra items to this field (eg. more Additional Manufacturing Locations)
⏏	Logout
V	In a box indicates that a list of standard options exists for the content of this field (click on icon to load and display list of search criteria for selection)
🗑	To remove the adjacent Annex

	Download a PDF of the Certificate (this will be an unsecured file that can be edited to add electronic signatures etc)

4.2   Creation

After logging in as an ExCB you can select Create from the Homepage menu bar (top of home page). You will then be prompted to select the type of Report or Certificate that you want to create – click on **Report / Certificate type** to open the options list, select type and then select Create again to open a new draft of the selected Report or Certificate.

Then click the ✎ icon to enable editing of the draft to insert content.   Unwanted content can be removed by deletion or by selecting the "X Cancel" button.
A successful save of the Certificate or Report after insertion of content and use of 🖫 Save will be confirmed by a ✓ Save successful message and loading of the image PDF in window on right hand side of screen.

Note that Certificates and reports will be stored and published as PDF files.   The PDF file is built and updated as content is added to the new or up-issued Certificate or report that is being created but you need to save it as a draft for the progress of building the PDF to be displayed in a separate window on the right hand side of the screen. The PDF will not load until after a certificate or report has been saved.

4.2.1   Entry of content in text fields

Fields that are supported by the 'autosuggest' feature are indicated by the ⬀ logo in the right hand side of the field.

Fields that require content to be entered as text are indicated by the " icon on the right hand side of the field and text can be entered by clicking on **(Empty)** in the field to open a window where text can be entered and formatted using the tools in the menu bar.   Click Apply to include the text in the certificate or report.

Date fields can have content entered or edited by clicking on the date already shown in the field - this will open a calendar from which alternative date can be selected.

4.2.2   Equipment field content – Limits of …

- If the first page is too long (too much text entered by the user) a red shaded square will appear in the PDF (refer example below) to show that something needs to be corrected.


- The same principle applies to the page that contains Equipment and Specific Conditions of Use details
- The facility to add content in an extra page titled "Equipment (continued)" that will, if content exists, appear after the Specific Conditions of Use field.

4.2.3   Linking of ExTRs, QARs and ATRs for Equipment Certificates

- ExTR Summaries and QAR Summaries can be linked to a new (Issue 0) Certificate by selecting these from the options presented when these fields in the draft Certificate are 'clicked on'
- In the situation of up-issuing a Certificate, the ExTR Summary and QAR Summary linked to the previous issue will appear in the draft new issue.   These can be added to by selecting additional reports and any unwanted reports can also be removed
- If, in the case of an up-issue of a certificate that includes an ATR field as *"Test and assessment Reports (Manual)"* (typically these are certificates that were issued prior to 2007), the field "Test and assessment Reports" will continue to be available however the ExCB can remove ATR details if no longer relevant
- In all cases there will be the possibility to link the certificates to Tests reports and QARs
- If the content of the ATR is removed, the field and title will disappear
- New certificates do not include the ATR field

4.2.4   IECEx Certification Body Address and Logo Details

The new OCS system will indicate if the content of the ExCB name or address are not recognised by the system and this will be shown with "Doubt" icon. If this appears, the ExCB can click on this and follow instructions to either ignore, correct or replace this with a newly created set of details (that will be saved in the system for future presentation as an option when the 'autosuggest' feature is activated (Section 4.5 below provides more guidance on correcting this problem)
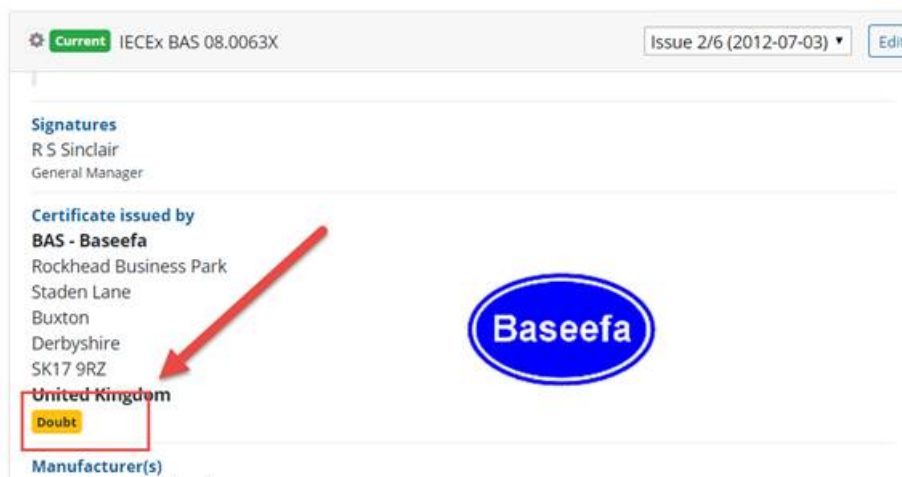
4.3   Editing of draft Certificates and Reports
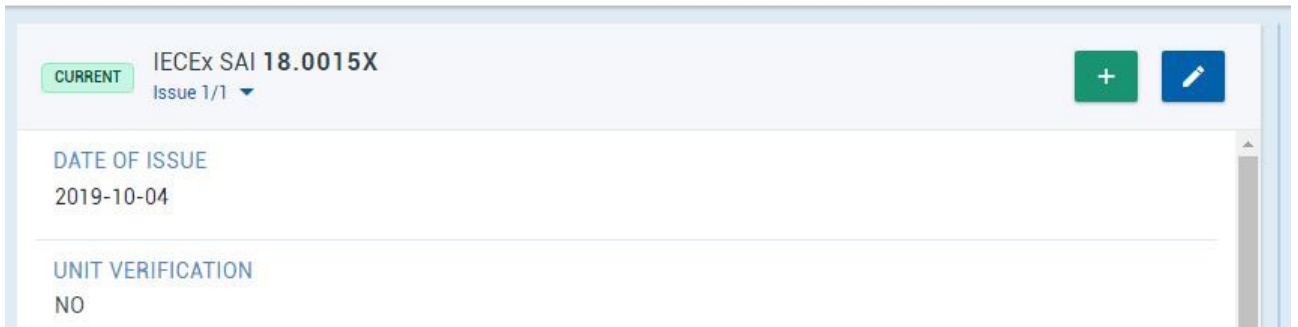
A Certificate or Report can be edited by ExCB personnel with either Basic or Administrator access at any time while it is status is Draft.

Draft Certificates and Reports can only be set to status of Current or Issued by ExCB personnel with Administrator access.
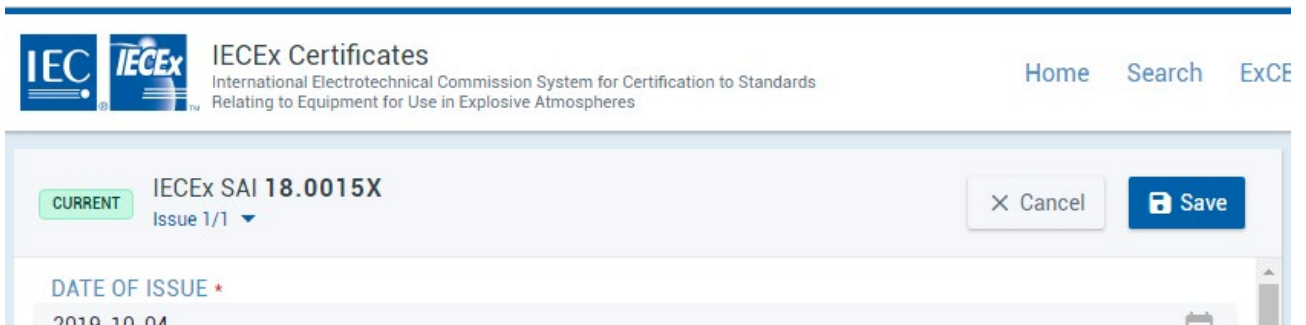
4.4   Editing of previously issued Certificates and Reports

After a Certificate or Report has been set to status of Current or Issued it can be edited and saved after editing by staff of the Issuing ExCB with *ExCBAdmin* level access within 14 days after first issuing as status = Current OR by the IECEx Secretariat at any time on request to the IECEx Secretariat .   It is NOT necessary for the issuing ExCB to reset the Certificate to status = Draft to enable the Issuing ExCB to edit within the 14 day period (and ExCBs do not have access to change status after the Certificate has been set to status = Current).   After logging in with ExCBAdmin

access rights the ✏ icon can be used to open the Certificate for editing and then saving (as status = Current) after changes have been made.

NOTE that the Save icon does not activate for use until after changes to the content of one or more fields of the Certificate have been made.

If during editing, you see a "Doubt" message or icon in a field when editing previously issued (and particularly old versions from ~ 2004) this means that the system does not recognise the content of this filed as compared to the content of the supporting database.
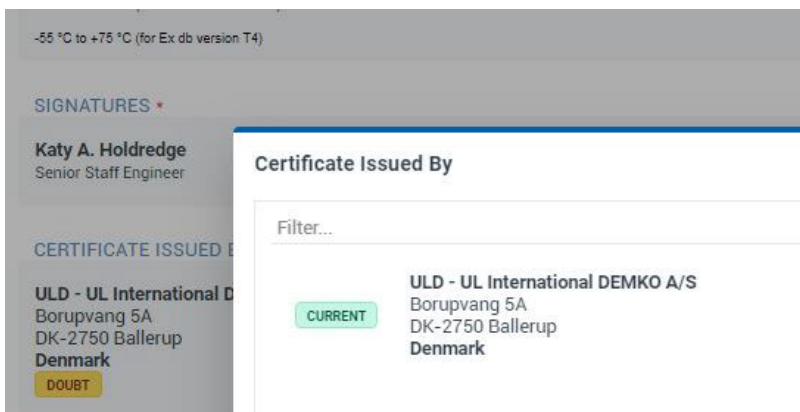

The solution (in Edit mode) is to click on the "Doubt" icon and this will open a window in which the system will suggest at least one record from the supporting database that may be correct – to remove the Doubt icon, select the most appropriate suggestion and then select "Apply". Follow the instructions at the top of the window to remove the original doubtful entry.

4.5   Creating new versions ("up-issuing") previously issued Certificates and Reports

Previously issued Certificates and Reports can be "up-issued" to create new versions of the Certificate or Report series.   This can be done by opening the version to up-issued and then selecting the [+] icon and following the on-screen instructions.

As the New OCS uses data from the old OCS and as some of this data may be old or entered using 'cut and paste' or contain data in a format that does not match the fields of the new OCS (eg more than one location in the address field) so the New OCS may not be confident to use this data to create PDFs – in such situations you will see that a field has been shaded as yellow, text of concern in brown and display of the **"Unclear data, ... In mode:"** message as shown in the screenshot below
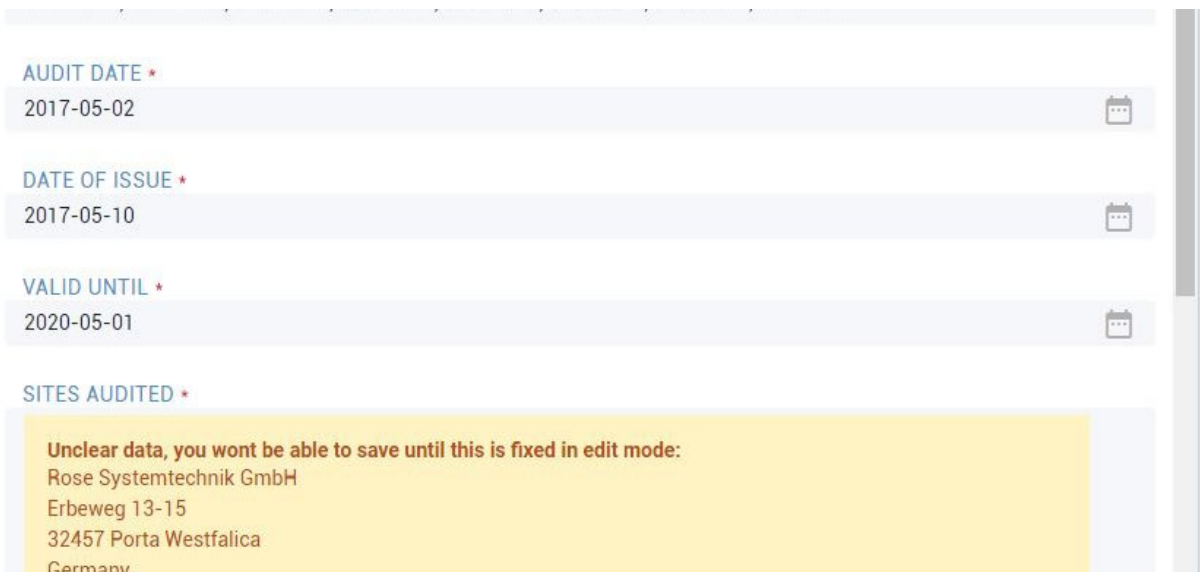
The solution to this problem is:
1. Click anywhere in the yellow shaded area
2. Type text of one organisation names (eg. Rose Systemtechnik GmbH) in the area labelled as "Search for addresses"
3. Select the correct organisation from the list of options
4. Use ▶ to move selected organisation to *Selected* list window
5. Select Apply
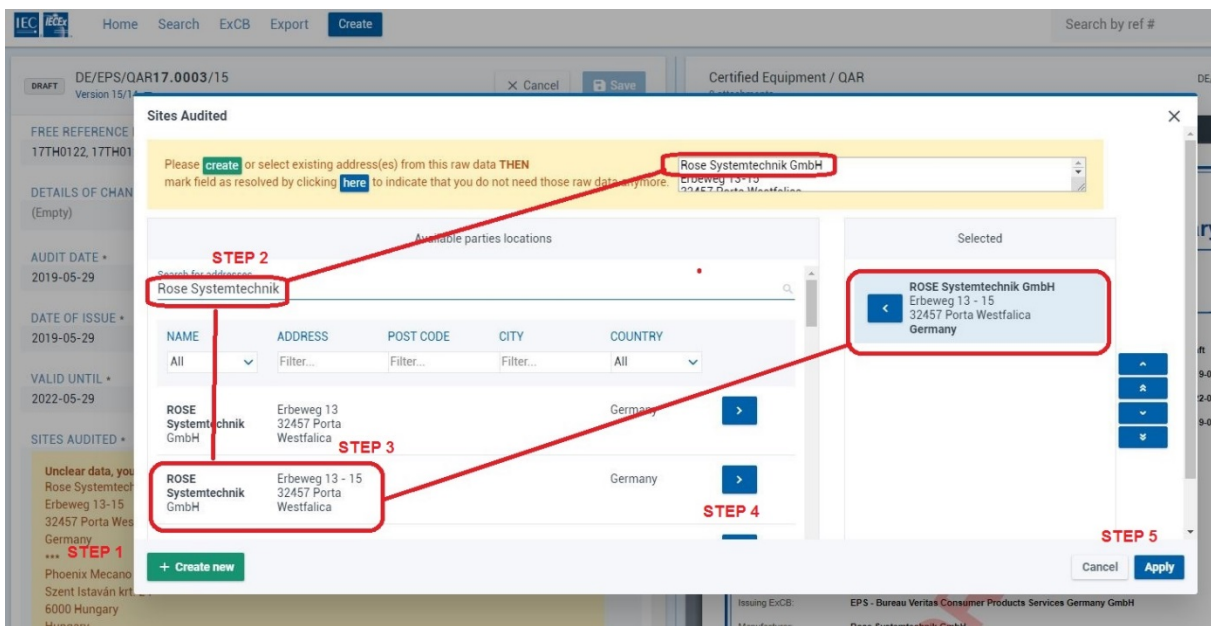
BUT / AND

If the Step 2 above does <u>not</u> provide a list, for example, you see an image similar to below and a message of "No results"
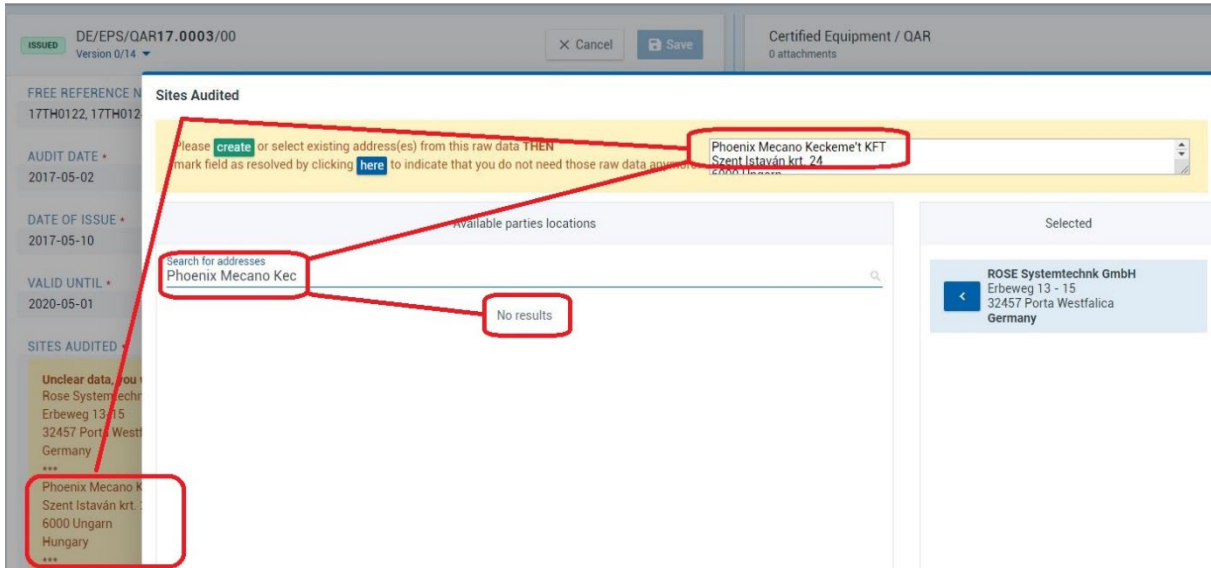
the solution to this problem is:
1. Select + Create new
2. *Use content of "Raw data:" window to fill in Organisation / Party name and address detail fields (typing or 'copy and paste' are both valid methods of adding content) – see following screenshot for guidance …*
3. Select + Create
4. Select the correct organisation from the updated list of options
5. Use ▶ to move selected organisation to *Selected* list window
6. Select Apply

NOTE: the above is a 'once off process' for the particular organisation. After saving the new organisation details these details will be used by the system to generate lists for future use of the 'autosuggest' feature
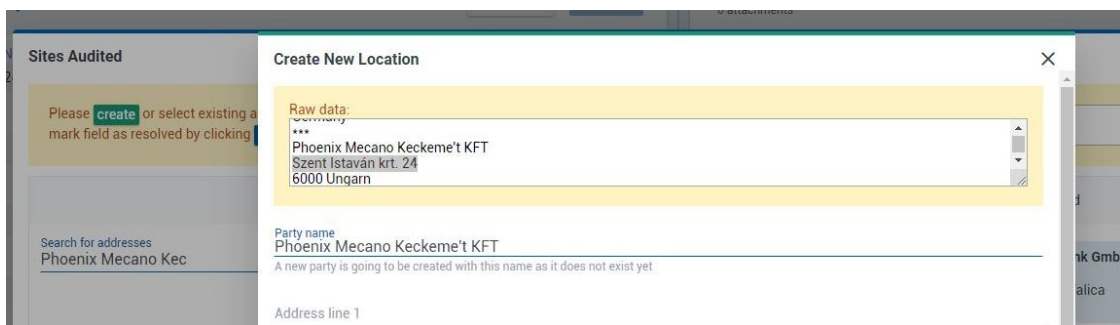
4.5.1   Linking of ExTRs, QARs and ATRs in 'Up-issued' Equipment Certificates

If a Certificate to be up-issued includes reference to an *IECEx ATR* in the Test & Assessment Reports (Manual) field (such Certificates were originally issued ~ prior to 2007 when IECEx Certificates were based on a different template) it is possible to either:
1. **Retain** this as the only supporting report
2. **Retain** this AND also **add** links to one or more ExTRs and one or more QARs
3. **Remove** the ATR and **replace** it with links to one or more ExTRs and one or more QARs

Please note that
- If not empty, the field "Test and assessment Reports" continue to be available in the new system and the ExCB can remove ATR details if no longer relevant
- In all cases there will be the possibility to link the certificates to Tests reports and QARs

- If the content of the ATR is removed, the field and title will disappear
- New certificates do not include the ATR field

4.6 Deletions

ExCB Administrators (logged-in as **ExCB Admin**) can delete unwanted DRAFTS of their ExCBs Certificates and Reports at any time so that these are not visible as distractions when doing other work

A "SOFT-DELETED" designation for a Certificate or report means that an unwanted Draft has been deleted and will not appear (as a distraction) in a search for Certificates or reports.

Certificates or Reports that are designated as "SOFT-DELETED" can be restored to Draft (so that they are visible to ExCBs and available for editing) by the IECEx Secretariat in the 'Back Office' by use of the Restore icon as show in the screenshot below (once used the Restore icon will change to a red background as Restore).   A Certificate or Report can also be "SOFT-DELETED" by the IECEx Secretariat by use of the Trash icon as shown in the screenshot below. (once used the Trash icon will change to a green background as Trash)

5   Managing the currency of QARs and FARs

5.1   Access to IECEx OCS "Back Office"

Logged in members of ExCB staff with appropriate access level can enter the IECEx OCS "Back Office" (as explained in Section 2.1 of this IECEx Operational Document)

5.2   View and management of ALL Reports

The *Reports* menu item enables ExCBs to view key details of QARs, ExTRs, FARs and PCARs of all status designations on the basis of each Scheme and also to remove these from, or restore them to, the system 'Front Office' (by use of Trash and Restore options as shown below:

This page provides advanced filtering tools that ExCBs can use to refine their search in terms of a specific ExCB, the report type, report status, report issue date, etcetra

## 5.3   View and management of Out of Date Reports

The *Reports / Reports – Out of Date* menu item enables ExCBs to view QARs and FARs to determine if they have expired (and therefore are NOT supporting linked Certificates as valid) under This report page also has options to view the following:

1.   Out of Date Reports by a specific ExCB. This page provides the facility to filter the search in terms of a specific ExCB (noting that a logged ExCB can only see their own Out of Date Reports), report types and period of reporting or age of Out of Date Report as shown below:

2. Certificates linked to Reports that have expired because their Valid until date has been passed and therefore are **out of date.** In this view the latest version of the Certificate is shown in **black** font and earlier versions are shown in grey font as illustrated in the image below. This feature is provided to assist the ExCB to focus on the latest version as the version that possibly needs action in accordance with the guidance in IECEx OD 250.
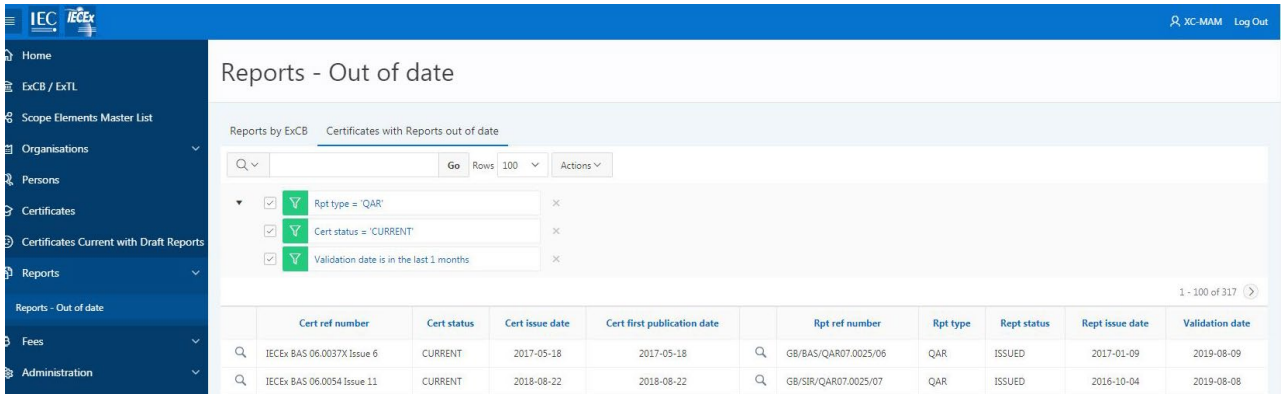
5.4 Additional Report management tools for IECEx Secretariat

As explained in IECEx OD250, it is possible for the IECEx Secretariat (only), on provision of relevant information from the issuing ExCB, to 'force' an Out of Date Report off the list visible to the ExCB and there is provision in the IECEx Secretariat Back Office to "turn *Off*" (or restore with "*On*") the display of a specific Out of Date Report for visibility by use of the *Actionoption* column tool as shown below: