



ExMC/985/DV
March 2015

**INTERNATIONAL ELECTROTECHNICAL COMMISSION SYSTEM FOR
CERTIFICATION TO STANDARDS RELATING TO EQUIPMENT FOR USE
IN EXPLOSIVE ATMOSPHERES (IECEx SYSTEM)**

Title: Publication of *IECEx 05 – Rules of Procedure, Edition 3.0*

To: Members of the IECEx Management Committee, ExMC

Introduction

A draft of *IECEx 05, IECEx Scheme for Certification of Personnel Competence for Explosive Atmospheres (Edition 3.0)* was tabled for discussion at the 2014 ExMC meeting in The Hague as **ExMC/947/CD**.

It was agreed, via Decision **2014/39** (based on the discussions and Decisions 2014/35 and 2014/36), that a final version of ExMC/947/CD be submitted for ExMC approval by correspondence following an editorial review by the IECEx Secretariat.

The following version of IECEx 05, Edition 3.0 includes editorial amendments arising from a Secretariat review and is now issued to ExMC for final approval for publication.

Please submit your vote to the IECEx Secretariat by **24th April 2015** using the voting form.

Your speedy response to the voting process will be very much appreciated.

Chris Agius
IECEx Secretary

Address: Level 33, Australia Square 264 George Street Sydney NSW 2000 Australia	Contact Details: Tel: +61 2 4628 4690 Fax: +61 2 4627 5285 e-mail: chris.agius@iecex.com http://www.iecex.com
--	--

Contents

1	Scope	5
2	Normative references	5
3	Definitions	6
4	Governing of the IECEX System	7
5	Obtaining IECEX Certificates for Personnel	7
6	Principles of the IECEX Certification of Personnel Competence Scheme	8
6.1	IECEX Certificate of Personnel Competence (CoPC)	8
6.2	IECEX Certificate issuing countries	8
6.3	Method of application	8
6.4	Acceptance	8
6.5	Permissions	8
6.6	Confidentiality	8
7	IECEX instruments	8
7.1	IECEX Certificate of Personnel Competence (CoPC)	8
7.1.1	Issue	8
7.1.2	Format	9
7.1.3	Contents	9
7.2	IECEX Personnel Competence Assessment Report (PCAR)	9
7.2.1	Content	9
7.2.2	Format	9
7.2.3	Restrictions	9
7.3	CoPC Wallet ID Card	9
7.3.1	Issue	9
7.3.2	Format	9
7.4	IECEX Ex Facility Orientation Certificate (EFOC)	10
7.4.1	Issue	10
7.4.2	Format	10
7.4.3	Contents	10
7.5	EFOC Wallet ID Card	10
7.5.1	Issue	10
7.5.2	Format	10
8	Certification procedure	10
8.1	Applicant	10
8.2	Application documentation	10
8.3	Evaluation of applicant documentation	11
8.4	Assessment of Ex personnel competence	11
8.5	Certificate issue	11
8.6	Re-certification	11
8.7	Changes	11
8.8	Ensuring conformity	11
8.9	Documentation retained	12
8.10	Surcharges	12
8.11	Suspension or withdrawal	12
8.12	Compliance with Rules	12
8.13	Appeals	12
9	Acceptance of certification bodies (new ExCBs)	13

9.1	Conditions for acceptance	13
9.2	Application	14
9.3	Assessment	14
9.4	Resolution of differences	14
9.5	Report to ExMC	14
9.6	Acceptance	14
9.7	Notification	14
9.8	Changes	15
9.9	Change of scope	15
9.10	Reporting of decisions	15
9.11	Re-assessment	15
9.12	Withdrawal	15
9.13	Suspension	15
10	IECEX Publications	16
10.1	Types of publications	16
10.2	Information to be available	16
10.3	IECEX Bulletin	16
10.4	Source of information	16
11	Complaints	16
Annex A (normative) Declaration by a certification body applying to become an Ex Certification Body for the IECEX Certification of Personnel Competence Scheme		17
Annex B (informative) Typical Application form to become an Ex Certification Body in the IECEX Certification of Personnel Competence Scheme		18
Annex C (normative) Declaration by a certification body applying to become an Ex Certification Body for the IECEX Certification of Personnel Competence Scheme regarding Confidentiality		20

INTERNATIONAL ELECTROTECHNICAL COMMISSION

IECEX Scheme for Certification of Personnel Competence for Explosive Atmospheres – Rules of Procedure

FOREWORD

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

All of the annexes to this publication are identified as either normative or informative.

These requirements are not intended to change national regulations but offer a practical and workable option to Regulators especially where national regulations do not exist.

This publication is directly related to Publication IECEx 01 containing the Basic Rules of the IECEx Certification System.

This third edition of IECEx 05 takes effect immediately upon publication and replaces the second edition.

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

Edition	Document	Approved
Original (1.0)	ExMC/515A/DV	ExMC/548/RV
Edition 2.0	ExMC/782/CD	2012 ExMC Calgary meeting - ExMC/819A/RM
Edition 3.0	ExMC/947/CD	2014 ExMC Meeting – The Hague, Decision 2014/39

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

The amendment to edition 2.0 of IECEx 05 includes the following changes:

- Addition of the new IECEx Ex 000 Unit of competence
- Addition of text to:
 - Clause 6.6
 - Clause 9.1
- Revision of Clause 8.6 to remove the requirement for surveillance at 18 month intervals
- Addition of Annex C regarding confidentiality declarations by ExCBs

INTRODUCTION

IECEX Certification of Personnel Competence Scheme

While certification of Ex equipment is covered by the IECEx Certified Equipment Scheme and the IECEx Service Facilities, as detailed in IECEx 02 and IECEx 03 respectively, the objective of the IECEx Certification of Personnel Competence Scheme is to provide cross-industry competence needed for work associated with equipment for hazardous areas. Competence is intended for use by any industry sector or enterprise with regards to explosion-protection related to the relevant functional areas.

There are several documents that provide the basis for the IECEx Certification of Personnel Competence Scheme:

IECEX 05, IECEx Scheme for Certification of Personnel Competence for Explosive Atmospheres – Rules of Procedure

IECEX OD 501, Assessment Procedures for IECEx acceptance of Certification Bodies (ExCBs) for the purpose of issuing and maintaining IECEx Certificates of Personnel Competence

IECEX OD 502, Application for an IECEx Certificate of Personnel Competence, documentation and information requirements

IECEX OD 503, ExCB Procedures for issuing and maintaining IECEx Certificates of Personnel Competence

IECEX OD 504, Specification for Units of Competence assessment outcomes

This certification scheme is intended only to ascertain the competence of personnel as it relates to working with equipment for use in or associated with explosive atmospheres.

Where is Ex equipment commonly found?

Flammable gases, vapours and mists, as well as combustible dusts create potentially explosive atmospheres.

Industries include but are not limited to:

- Automotive refuelling stations or petrol stations
- Oil refineries, rigs and processing plants located Onshore or Offshore
- Oil and gas tankers, drilling ships and FPSOs (Floating Production Storage Offloading vessels)
- Chemical processing plants
- Printing industries, paper and textiles
- Hospital operating theatres
- Aircraft re-fuelling and hangars
- Surface coating industries
- Underground coalmines
- Sewerage treatment plants
- Gas pipelines and distribution centres

- Grain handling and storage and processing (flour-milling industry)
- Woodworking areas
- Sugar refineries
- Light metal working, where metal dust and fine particles can appear

Competence application

Competence is intended to be applied as it relates to the specific work function of an individual person and includes (but not limited to) management awareness, area classification, design of installations, selection of equipment, installation, inspection, maintenance and repair/overhaul. The scheme does not detail any training requirements and a Certificate is issued on the basis of an assessment undertaken by an ExCB. Evidence of qualification or trade credentials for similar work in non-hazardous areas will need to be presented and verified prior to being assessed for work in hazardous areas and this will include any regulatory requirements for certificates or licenses etc., within each country for which the person is making application for the Certification to be valid.

A Certificate of Personnel Competence (CoPC) can only be issued when compliance with the Scheme requirements has been achieved and the person is competent according to the Units of Competence in the scope of the application.

More information

Further information, including free downloads of the IECEx Rules of Procedure, is available from the IECEx website: www.iecex.com.

IECEX Scheme for Certification of Personnel Competence for Explosive Atmospheres –

Rules of Procedure

1 Scope

This publication contains the Rules of Procedure of the Scheme of the IECEx System, hereinafter referred to as the "Rules", for the Certification of Personnel Competence involved in activities such as but not limited to:

- basic knowledge and awareness to enter a site that includes a classified hazardous area
- apply basic principles of protection in explosive atmospheres
- perform classification of hazardous areas
- install explosion-protected equipment and wiring systems
- maintain equipment in explosive atmospheres
- overhaul and repair explosion-protected equipment
- test electrical installations in or associated with explosive atmospheres
- perform visual and close inspection of electrical installations in or associated with explosive atmospheres
- perform detailed inspection of electrical installations in or associated with explosive atmospheres
- design electrical installations in or associated with explosive atmospheres
- perform audit inspection of electrical installations in or associated with explosive atmospheres

It is not intended that the IECEx Certification of Personnel Competence Scheme be applied to personnel who are:

- involved in the design or manufacture of product where the output of their work is verified through test, assessment or equipment certification
- involved in testing and to certification bodies where their competence is verified through the accreditation of a Test Laboratory or a Certifying Body.

This Scheme deals only with assessment and not covers training, requirements.

This IECEx Certification of Personnel Competence Scheme operates as a complimentary Scheme to the IECEx Schemes covering Certification of Equipment for use in explosive atmospheres (IECEX 02) and the Certification of Service Facilities (IECEX 03).

These Rules relate to and must be read in conjunction with the Basic Rules of the IECEx System, as given in IECEx 01.

2 Normative references

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

IECEX 01:2008, *IECEX System – Basic Rules*

IECEX 02:2006, *Equipment Certification Program covering equipment for use in explosive atmospheres – Rules of Procedure*

ISO/IEC 17000:2004, *Conformity Assessment – Vocabulary and general principles*

ISO/IEC 17024:2003, *Conformity Assessment – General requirements for bodies operating certification of persons*

IEC 60079 Series, *Explosive atmospheres*

3 Definitions

ISO/IEC 17000 gives the basic definitions.

For the purpose of the IECEx Certification of Personnel Competence Scheme, the definitions contained in ISO/IEC 17024, IECEx 02 and those below apply:

3.1

IECEX Certification of Personnel Competence Scheme

scheme of the IECEx Certification System for the certification of personnel competence for persons engaged in work and services related to explosive atmospheres

3.2

IECEX Certificate of Personnel Competence (CoPC)

document issued under these Rules indicating that adequate confidence is provided that a duly identified person has been found to operate procedures that provide confidence that the work undertaken complies with IECEx requirements as defined in IECEx OD 504. A CoPC may only be issued for Units of Competence Ex 001 to Ex 010 inclusive.

NOTE IECEx CoPCs are issued via the IECEx internet based “On-Line Certificate” system. Refer to IECEx OD 011-1 for details.

3.3 IECEx Ex Facility Orientation Certificate (EFOC)

document issued under these Rules indicating that adequate confidence is provided that a duly identified person has satisfied the requirement of the Ex 000 Unit of Competence as defined in IECEx OD 504.

3.4

IECEX Personnel Competence Assessment Report (PCAR)

document that presents the results of an assessment of a person’s competence to the requirements of the IECEx Certification of Personnel Competence Scheme

3.5

applicant

person who applies to an Ex Certification Body for an IECEx Certificate (either a CoPC or an EFOC)

3.6

competence

demonstrated knowledge and skills [ISO/IEC 17024]

NOTE The concept of competence focuses on what is expected of a person in the workplace rather than on the learning process, and embodies the ability to transfer and apply skills and knowledge to new situations and environments.

3.7

Ex Competent Person

person who can demonstrate a combination of knowledge and skills to effectively, efficiently and safely carry out activities in or associated with hazardous areas, covered by IECEx requirements.

NOTE Competence is specified by activity (e.g. classification, selection of equipment, installation, maintenance, testing and inspection, etc.) and may be limited by types of protection, product types, groups etc. as detailed in IECEx OD 502.

3.8

qualification

demonstrated education, training and work experience where applicable

3.9

examination

mechanism that is part of the evaluation (assessment), which measures a candidate's competence by one or more means such as written, oral, practical and observational [ISO/IEC 17024]

3.10

examiner

person with relevant technical and personal qualifications, competent to conduct and/or score an examination [ISO/IEC 17024]

4 Governing of the IECEx System

The IECEx System is governed by the Ex Management Committee (ExMC). The responsibilities of the ExMC, in this respect, are defined in the Basic Rules of the IECEx System, as given in IECEx 01.

This publication IECEx 05 sets out the general Rules of Procedure of the IECEx Certification of Personnel Competence Scheme. These general Rules are supplemented by the Scheme's Operational Documents (ODs). Refer to the IECEx website: www.iecex.com for a current list of published ODs.

According to IECEx 01 Basic Rules, The IECEx Personnel Certification Committee (ExPCC) deals with matters relating to the operation of the IECEx Certificate of Personnel Competence Scheme (IECEx CoPC Scheme) as defined by the Scheme Rules, IECEx 05

5 Obtaining IECEx Certificates for Personnel

The IECEx Certification of Personnel Competence Scheme provides the means for persons to obtain an IECEx Certificate of Personnel Competence (CoPC) that is intended to provide the international Ex community with confidence that such persons undertake work or provide services in accordance with the technical and quality system requirements of the IECEx Certification of Personnel Competence Scheme. The aim of the IECEx Certification of Personnel Competence Scheme is that IECEx Certified Personnel:

- establish and implement system procedures
- maintain competence in the Ex field as administered by the ExCB
- ensure necessary test and measuring equipment are adequate and under calibration control.

The IECEx Operational Documents OD 501, OD 502, OD 503, OD 504, OD 506 and OD 521 and relevant requirements of IEC 60079 series of Standards, together with these Rules form the basis of the IECEx Certification of Personnel Competence Scheme requirements.

An IECEx CoPC may be issued for a specific area of operation, for example to cover "Area Classification to IEC 60079-10-1 only".

Ex Competent Persons that have attained and maintain IECEx Certification for the services they provide shall affix the IECEx CoPC reference adjacent to the signature, to reports and stationery providing that there is no misrepresentation of the scope of certification.

It should be noted that the IECEx Ex Facility Orientation Certificate (EFOC) only covers the safety obligations and minimum basic knowledge of persons entering a site that has classified hazardous areas – it does not infer that such persons are capable of undertaking work or providing services. It does however provide confidence of a person's understanding of the nature of hazardous areas, limitations on devices that may be taken into a hazardous area and the occupational health and safety responsibilities and procedures related to hazardous areas. An EFOC does not include requirements for ensuring the explosion protection aspects of plant and machinery and does not negate other competencies required for general and functional OHS.

6 Principles of the IECEx Certification of Personnel Competence Scheme

6.1 IECEx Certificate of Personnel Competence (CoPC)

The IECEx Certification of Personnel Competence Scheme provides the means for an individual working in or associated with hazardous areas to obtain a Certificate of Personnel Competence (CoPC) that is intended to be accepted in all participating countries as equivalent to their national certification. An IECEx CoPC may also be accepted in other non-participating countries. An IECEx CoPC may be issued by any ExCB accepted into the Scheme. The Certificate will attest that the individual person conforms to the relevant criteria and that he meets the requirements of this Scheme.

6.2 IECEx Certificate issuing countries

In order for a country to participate in the IECEx Certification of Personnel Competence Scheme the country must first be a member of the IECEx System and comply with the requirements for IECEx Membership, as detailed in IECEx 01. Countries that are existing members of the IECEx System shall be considered members of the IECEx Certification of Personnel Competence Scheme.

6.3 Method of application

An ExCB approved by the ExMC, in accordance with these Rules and associated IECEx Operational Documents, may issue IECEx Certificates. Applications for acceptance for the purpose of issuing IECEx CoPC can be accepted from Bodies that reside in an IECEx Participating Member Country. An application for a country to participate in the IECEx System is made by the candidate Member Body of the IECEx System for that country (see IECEx 01). The application is made to the Secretary of the ExMC.

6.4 Acceptance

Certification bodies are accepted into the IECEx Certification of Personnel Competence Scheme following satisfactory assessment of their competence by assessors appointed by the ExMC as providing adequate confidence to regulatory authority, user, manufacturer and certification body interests. Competence is judged by reference to ISO/IEC 17024 and IECEx System requirements.

6.5 Permissions

Only ExCBs that have been accepted for the purpose of issuing IECEx Certificates and reside in an IECEx Participating Country are permitted to issue IECEx Certificates.

6.6 Confidentiality

All those participating in the IECEx System shall respect the confidentiality of any information that they obtain from

- applicants during the certification process
- the IECEx Secretariat that includes the IECEx CoPC Question Bank as compiled, maintained and issued by the IECEx Secretariat on behalf of contributing ExCBs.

and take all reasonable steps to bind their staff and those working under contract to preserve that confidentiality. The effectiveness of such steps taken shall be evaluated as part of the IECEx assessment of the ExCB and include a review of the continued currency of the declaration of the ExCB according to the format of Annex C to this document (refer Clause 9.2 following).

7 IECEx instruments

7.1 IECEx Certificate of Personnel Competence (CoPC)

7.1.1 Issue

An ExCB, on the basis of a satisfactory IECEx Personnel Competence Assessment Report (PCAR), issues an IECEx Certificate of Personnel Competence (CoPC) certifying that the Ex Competent Person identified on the Certificate has been independently assessed and verified as competent in the specific

competence listed on the Certificate and conforms in all relevant respects with the IECEx specific units of competence concerning IECEx Certification of Personnel Competence Scheme procedures.

7.1.2 Format

The IECEx CoPC Certificate is issued according to the IECEx electronic On-Line Certificate System (www.iecex.com) with the ExMC to decide on the format, layout and content of IECEx Certificates of Personnel Competence.

7.1.3 Contents

The IECEx CoPC shall contain at least the following information:

- date of issue
- date of expiry
- description of the Ex Competent Person including photographic evidence
- the name of the Ex Competent Person
- the number and title of the Unit of Competence including any limitations which have been independently assessed and verified
- the reference number of the original PCAR that enabled IECEx CoPC to be issued
- indication of changes to Certification and amendment issue
- name of the issuing ExCB

7.2 IECEx Personnel Competence Assessment Report (PCAR)

7.2.1 Content

A PCAR is prepared and issued by an ExCB recording the independent assessment and verification of an Ex Competent Person's competence for compliance with the IECEx Certification of Personnel Competence Scheme requirements.

7.2.2 Format

The ExMC shall prepare a document detailing competence requirements for the Scheme and the format, layout and content of PCARs.

7.2.3 Restrictions

The PCAR is a document used in the preparation of the IECEx CoPC and subsequent re-certification of the Ex Competent Person. The PCAR is issued to the applicant on the basis of being a confidential document and shall not be used in any form of advertising or sales promotion in a way that the information may be misrepresented.

7.3 CoPC Wallet ID Card

7.3.1 Issue

A Wallet size ID Card containing information regarding the CoPC Certificate Holder, the certificate number, issuing ExCB and basic information relating to the Units of Competence shall be issued to applicants to accompany the IECEx CoPC Certificate.

7.3.2 Format

The ExMC shall decide on the format, layout and content of IECEx CoPC Wallet ID Card. The ExMC Secretary shall manage a system to ensure that all ExCBs issue the Wallet ID Card using a single common IECEx format.

7.4 IECEX Ex Facility Orientation Certificate (EFOC)

7.4.1 Issue

An ExCB, on the basis of a satisfactory IECEX Personnel Competence Assessment Report (PCAR), issues an IECEX Ex Facility Orientation Certificate (EFOC) certifying that the person identified on the Certificate has been independently assessed and verified as meeting the requirements of the Ex 000 Unit of Competence as defined in IECEX OD 504.

7.4.2 Format

The IECEX EFOC Certificate is issued according to the IECEX electronic On-Line Certificate System (www.iecex.com) with the the format, layout and content of an IECEX EFOC to be separate to that of an IECEX CoPC so as not to create confusion in the market.

7.4.3 Contents

The IECEX EFOC shall contain at least the following information:

- date of issue
- date of expiry
- description of the Ex Competent Person including photographic evidence
- the name of the person
- the reference number of the original PCAR that enabled IECEX CoPC to be issued
- indication of changes to Certification and amendment issue
- name of the issuing ExCB

7.5 EFOC Wallet ID Card

7.5.1 Issue

A Wallet size ID Card containing information regarding the EFOC Holder, the certificate number, and issuing ExCB shall be issued to applicants to accompany the IECEX EFOC.

7.5.2 Format

The format, layout and content of IECEX EFOC Wallet ID Card shall be separate to that of the Wallet ID Card issued for an IECEX CoPC so as not to create confusion in the market. The ExMC Secretary shall manage a system to ensure that all ExCBs issue the Wallet ID Card using a single common IECEX format.

8 Certification procedure

8.1 Applicant

An individual person may make an application for an IECEX Certificate to any ExCB, which has been accepted for this purpose by ExMC. At the time of acceptance of the application there shall be a declaration, by the applicant that an application has not been accepted by another ExCB.

NOTE Reference to "IECEX Certificate" within this publication shall mean an IECEX CoPC or IECEX EFOC.

8.2 Application documentation

The documentation shall accurately identify the specific scope of competence for certification as detailed in IECEX OD 504, and shall include the name, address and colour photograph of the applicant.

8.3 Evaluation of applicant documentation

The ExCB shall conduct an evaluation of the applicant documentation to verify that the application for IECEx Certificate in conformity with IECEx requirements and notify the applicant of the result. It is suggested that this evaluation includes verification of qualifications, work history and other key information supporting the application.

8.4 Assessment of Ex personnel competence

The ExCB shall assess the competence for compliance with specified requirements as detailed in the relevant IECEx Operational Documents. The ExCB shall issue an IECEx PCAR only when full conformity with IECEx Certification of Personnel Competence Scheme requirements has been established or issued as a "*PCAR (failed)*" where full compliance has not been achieved. Where an applicant who is non English speaking is examined in a language other than English, the language of the assessment shall be stated in the PCAR.

8.5 Certificate issue

Upon satisfactory completion of the work, the ExCB shall review the PCAR to ensure it covers the Ex Competent Person's details and the competence which has been independently assessed and verified. If the review is satisfactory the ExCB shall issue the PCAR together with an IECEx Certificate to the applicant, with a copy of each being retained by the ExCB. The Ex Competent Person and the ExCB shall each retain a set of the applicant documentation referred to in the PCAR. The ExCB issues the IECEx Certificate via the IECEx internet based "On-Line Certification" system, including the registering of the PCAR On-line Summary. Where a certificate is also issued in a language other than English then this additional certificate shall be included as an attachment to the original "On-Line" certificate appearing on the IECEx website. Any attachments to the On-Line IECEx Certificate, including translated certificates, should be in PDF format.

The IECEx Certificate shall remain valid only while a valid PCAR exists.

8.6 Re-certification

On or before the third anniversary of the issue of a PCAR, a reassessment of the competence included in the PCAR and Certificate shall be undertaken for the purpose of re-certification.

Re-certification shall result in the PCAR being withdrawn or re-validated, and the IECEx Certificate adjusted accordingly.

8.7 Changes

If the Ex Competent Person wishes to make any changes that may alter the scope of the Competence listed on the Certificate, he shall apply to the ExCB which granted the IECEx Certificate. The Ex Competent Person is required to describe the changes and the measures adopted to ensure continuing conformity with IECEx requirements. The ExCB shall arrange for such work as is necessary to be carried out to verify that the Ex Competent Person incorporating the change will still conform to the Scheme requirements. The ExCB shall issue a new Certificate authorizing the change. The ExMC shall specify the layout and content of the addendum. An ExCB may determine that a change(s) requires the re-issue of a Certificate.

Where application for re-certification is made to an ExCB other than the original issuing ExCB then after the re-assessment a new certificate shall be issued.

8.8 Ensuring conformity

The Ex Competent Person has the responsibility to ensure that all work or services provided is in accordance with IECEx requirements for this Scheme.

8.9 Documentation retained

In placing an application with an ExCB, the applicant authorises the ExCB to keep, for future reference, photographs and technical documentation of the Assessment of Competence. Such reference material shall be confidential.

8.10 Surcharges

An Ex Competent Person who is not in an IECEx Participating Country and an applicant acting on behalf of an operating organization in such a country shall pay a contribution to the costs of the IECEx System in the form of a surcharge for each application, the amount to be decided by the ExMC. The surcharge is to be collected by the ExCB handling the application, and remitted to the IECEx account. Detail of surcharges are given in OD019.

8.11 Suspension or withdrawal

An IECEx Certificate may be suspended or withdrawn by the issuing ExCB for the following:

- non payment of outstanding fees
- failure to comply with the surveillance requirements
- the Certificate or PCAR has been issued in error
- the holder requests cancellation
- it is used in a misleading way, or
- the Ex Competent Person no longer complies with the IECEx requirements

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

When an IECEx Certificate is suspended or when it has been withdrawn, the Applicant listed on the Certificate shall no longer describe themselves as "IECEx certified", nor shall he use the IECEx Certificate. Work or services provided prior to the withdrawal of the Certificate is not affected, except that the Ex Competent Person is responsible for determining the necessary action, if any, for previous work or services provided as a result of the suspension or withdrawal.

8.12 Compliance with Rules

The applicant shall follow the Rules of Procedure of the ExCB and shall confirm readiness to comply with all the relevant provisions regarding, for example, surveillance and payment of fees.

8.13 Appeals

Should a Ex Competent Person or applicant be refused the issuing of an IECEx PCAR or IECEx Certificate or be the subject of suspension or withdrawal of an IECEx Certificate and disagrees with this decision the person may lodge an appeal in the first instance with that ExCB and dealt with according to the ExCB's appeals procedures. If the complaint or appeal remains unresolved, the complainant may exercise their right of appeal according to IECEx Appeals process detailed in IECEx 01. Where the IECEx appeals process does not resolve the complaint or appeal the complainant may refer the matter to the IEC Conformity Assessment Board whose decision is final.

For the purpose of exercising an appeal to the IECEx Appeals Board the following information shall be provided along with any other information determined by the Chairman of the Board of Appeal.

The Applicant shall provide:

- details of the ExCB involved
- details of the Competence units under dispute
- copies of the communications between the ExCB refusing or withdrawing certification

- copies of the relevant qualifications, Resumes, Experience logs relative to the dispute
- reasons and arguments as to why the certification should be issued or revalidated

The ExCB provides:

- copies of the Personal Competence Assessment Report (PCAR) or the initial review where a PCAR has not been complete due to a poor application
- details of any verification visits, tests or communications
- a copy of the PCAR review
- a copy of any interim surveillance reports where relevant
- copies of any additional information provided to further support the application
- copies of any formal complaints made against the appellant and details of any follow up information obtained during the investigations

9 Acceptance of certification bodies (new ExCBs)

9.1 Conditions for acceptance

A certification body shall be accepted as an ExCB by the ExMC and given the right to issue IECEx Certificate and PCARs, under the following conditions:

- the certification body shall be located in a IECEx Participating Country
- the certification body shall be recognized at national level for operating Ex Certification or Approval Systems
- the competence of the certification body to comply with these Rules shall be demonstrated by assessment. The general competence, efficiency, experience, familiarity with the relevant standards and the types of protection and competence to carry out assessments of the Competence included in those standards, as well as compliance with ISO/IEC 17024 and this IECEx Scheme, shall be assessed.
- the applicant ExCB shall supply the IECEx sufficient and suitable questions for each Unit of Competence included in the scope of application
- the applicant ExCB shall establish and implement policies and procedures that ensure that the content of the CoPC Question Bank is
 - maintained as a commercially sensitive intellectual property asset of the IECEx System and safeguarded against security breaches
 - only used for the purpose of preparing for the assessment of CoPC applicants in accordance with IECEx OD 503
 - only disclosed to persons with a need to know the information for the above purpose and
 - ensure that anyone to whom the information is disclosed further abides by this requirement
- the applicant ExCB is invited to nominate a suitably qualified member of staff to attend meetings of the IECEx ExPCC (Personnel Certification Committee) as an observer for a maximum of three meetings. Upon acceptance, ExCBs representatives shall participate in all meetings of the ExPCC and also contribute to the work of ExPCC Working Groups. To encourage working group participation the ExPCC will, in the event of a nominated working group member's absence from more than three meetings, remove this person from the Working Group membership list and inform their nominating ExCB.

9.2 Application

The candidate certification body shall make an application for the acceptance of a certification body for the issuing of IECEx Certificate as detailed in Annex B.

This application shall be endorsed and submitted by the national Member Body of the IECEx System, in accordance with the requirements of IECEx 01, to the Secretary of the ExMC and shall be accompanied by a declaration as detailed in Annex A.

The candidate certification body shall submit a declaration according to the format outlined in Annex C.

9.3 Assessment

The candidate certification body shall be assessed according to the IECEx Assessment procedures to determine that the conditions according to 9.1 are fulfilled.

Assessors appointed by ExMC shall carry out the assessment. The candidate shall be given the names and current appointments of the assessors proposed. The team of IECEx Assessors proposed will have a working knowledge of assessment of personnel competence, an understanding of the assessment techniques used for assessment of personnel competence and specific hazardous area requirements. Candidates may object "for cause" (reasons to be stated) to the appointment of the assessors.

The candidate to be assessed shall express its willingness to pay the professional fees of the assessors. The amount will be decided by the ExMC and will include reasonable travelling and living expenses arising from the assessment. An estimate of these expenses shall be provided to the candidate in advance and agreed by the candidate.

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

9.4 Resolution of differences

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

9.5 Report to ExMC

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

9.6 Acceptance

The ExMC shall decide upon the acceptance of the candidate certification body at a meeting or by correspondence. In the latter case, the decision shall be reported to the next meeting of the ExMC and recorded in the minutes.

9.7 Notification

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

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

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

9.8 Changes

Each ExCB shall inform the Secretary of the ExMC about changes in the information given according to Annex A.

9.9 Change of scope

When an ExCB already participating in the IECEx Certification of Personnel Competence Scheme wishes to change its scope of acceptance, an application shall be made to the Secretary of the ExMC. The members of the last Assessment Team, who assessed the ExCB, should give their comments on the application to the ExMC. The IECEx Chairman and Officers shall decide whether the change can be accepted on the basis of the information made available or whether a full or limited assessment will be needed.

The matter shall either be submitted to a meeting of the IECEx Executive for decision or handled via correspondence.

9.10 Reporting of decisions

The decisions according to 9.9 shall be reported to the next meeting of the ExMC and recorded in the minutes.

9.11 Re-assessment

By means of re-assessment to the extent and frequency deemed necessary, the ExMC shall verify whether ExCBs are still fulfilling the conditions of 9.1.

9.12 Withdrawal

An ExCB wishing to withdraw from the IECEx Certification of Personnel Competence Scheme shall notify the ExMC Secretary of the ExMC via the Member Body of the IECEx System. This notification to be at least one year in advance and shall indicate the reason for the withdrawal and the date from which the withdrawal will become effective.

The ExCB that withdraws from the scheme shall make every endeavour to arrange for the transfer of transfer of certification to another ExCB.

9.13 Suspension

The acceptance of an ExCB may be suspended or withdrawn by the ExMC if the ExCB no longer fulfils the conditions of 9.1 or, if in the opinion of the ExMC, the ExCB hampers the aim, operation or development of the IECEx Certification of Personnel Competence Scheme, fails to take action regarding misuse of IECEx CoPCs, or violates these Rules. Before such a decision is made, the ExCB shall be given the opportunity to take corrective action over a period of six months and state its own opinion on the matter.

A decision to suspend or withdraw the acceptance of an ExCB shall require agreement at a meeting of the ExMC by a majority of at least four fifths of the total number of members. Members not attending that meeting shall have the right to cast their vote in writing by registered mail to the Secretary of the ExMC prior to the meeting.

Where suspension or withdrawal has been advised, the ExCB in question shall not be allowed to claim any relationship with the IECEx Certification of Personnel Competence Scheme.

In the period between meetings of the ExMC and in cases of a breach of rules by an ExCB the ExCB may be suspended by notification from the ExMC Secretary upon a decision by the IECEx Chairman with the support of all IECEx Executive. In such cases the ExMC shall be notified and the ExCB shall cease to issue IECEx Certificates during this suspension.

10 IECEx Publications

10.1 Types of publications

The ExMC, through its Secretariat may issue Operational Documents to ensure the common application of these Rules of Procedure by all ExCBs.

10.2 Information to be available

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

- a current list of ExCBs participating in the IECEx Certification of Personnel Competence Scheme
- IECEx CoPCs by Certificate number, scope and validity period. Other than the name and photograph, no personal details are to be included
- operational document providing guidance for the Certification of Personnel Competence Scheme

This and other relevant information may be made available on the IECEx website: www.iecex.com.

10.3 IECEx Bulletin

The Bulletin shall be amended to accommodate the relevant information regarding the IECEx Certification of Personnel Competence Scheme.

10.4 Source of information

The information published in the IECEx Publications is based on information given by the Member Bodies of the IECEx System and ExCBs. Neither the IEC nor the Secretary of the ExMC is therefore liable for the accuracy of that information. Publication of commercial information is not permitted.

11 Complaints

Complaints concerning the actions of an ExCB in the first instance shall be raised with that ExCB and dealt with according to their complaints or appeals procedures. If the complaint or appeal remains unresolved, the complainant may exercise their right of appeal according to IECEx Appeals process detailed in IECEx 01. Where the IECEx appeals process does not resolve the complaint or appeal the complainant may refer the matter to the IEC Conformity Assessment Board whose decision is final.

Annex A
(normative)

**Declaration by a certification body applying
to become an Ex Certification Body for the
IECEX Certification of Personnel Competence Scheme**

The declaration by a certification body applying to become an Ex Certification Body (ExCB) under the IECEx Certification of Personnel Competence Scheme shall include the following information:

- a description of the body which gives, in addition to an organization chart, information about the legal status of the body, the address(es) at which it carries out its operations
- the means by which the body will demonstrate compliance with ISO/IEC 17024 or other relevant ISO/IEC personnel guidelines
- the responsibilities at national level concerning certification, and the schemes operated
- the arrangements for appeal, the documents available for providing supporting information, for example with regard to existing accreditation
- details of Senior Management and Staff, with their qualifications and experience, responsible for operating the IECEx Certification of Personnel Competence Scheme
- a list of the type of Ex Personnel Competence according to which the body wishes to issue IECEx Certificates
- a statement that the ExCB will abide by all the relevant Rules of the IECEx System
- experience already gained in the field of Personnel Competence (e.g. National certification)

Annex B
(informative)

**Typical Application form to become an Ex Certification Body
in the IECEx Certification of Personnel Competence Scheme**

ExMC/.../Q IECEx Application to become an Ex Certification Body in the IECEx Certification of Personnel Competence Scheme.

This form is to be completed by the IECEx Member Body

Date:

Reference:

For the attention of the Secretary of the IECEx Management Committee.

Application for a certification body to become an Ex Certification Body in the IECEx for Certification of Personnel Competence Scheme.

The IECEx Member Body of (name of country) makes the following application in accordance with 9.1, 9.2 and Annex A of Publication IECEx 05

a) description of the certification body

.....
name of the body

.....
organisation chart (use a separate page or pages)

.....
the legal status of the body

.....
the address(es) at which it carries out its operations

.....
the means by which the body will demonstrate compliance with ISO/IEC 17024

.....
the responsibilities at national level concerning certification, and the schemes operated

.....
the arrangements for appeal

.....
the documents available for providing supporting information, for example with regard to existing accreditation

b) list of the Ex Units of Competence accepted for use in the IECEx Certification of Personnel Competence Scheme according to which the body wishes to issue IECEx Certificates of Personnel Competence (tick one or more of the following):

Unit Ex 000 – Basic knowledge and awareness to enter a site that includes a classified hazardous area	<input type="checkbox"/>
Unit Ex 001 – Apply basic principles of protection in explosive atmospheres	<input type="checkbox"/>
Unit Ex 002 – Perform classification of hazardous areas	<input type="checkbox"/>
Unit Ex 003 – Install explosion-protected equipment and wiring systems	<input type="checkbox"/>
Unit Ex 004 – Maintain equipment in explosive atmospheres	<input type="checkbox"/>
Unit Ex 005 – Overhaul and repair of explosion-protected equipment	<input type="checkbox"/>
Unit Ex 006 – Test electrical installations in or associated with explosive atmospheres	<input type="checkbox"/>
Unit Ex 007 – Perform visual and close inspection of electrical installations in or associated with explosive atmospheres	<input type="checkbox"/>
Unit Ex 008 – Perform detailed inspection of electrical installations in or associated with explosive atmospheres	<input type="checkbox"/>
Unit Ex 009 – Design electrical installations in or associated with explosive atmospheres	<input type="checkbox"/>
Unit Ex 010 – Perform audit inspection of electrical installations in or associated with explosive atmospheres	<input type="checkbox"/>

Details of the facilities associated with Units of Competence Ex 003 to Ex 008 and Ex 010:

.....

.....

.....

The Units of Competence may be varied by limitation according to OD 504. The usual limitations will relate to 1) types of protection, 2) product types, 3) groups, or 4) voltage. Limitations are shown by inclusion on the certificate and ID card.

In addition other scopes may be permitted provided the ExCB making application relates the scope to the IEC Standards involved and provides full details of the associated outcomes.

The certification body undertakes to abide by the Rules of Procedure laid down in Publications IECEx 01 and IECEx 05.

.....
signature

.....
name

.....
role

.....
date

Annex C
(normative)

**Declaration by a certification body applying
to become an Ex Certification Body for the
IECEX Certification of Personnel Competence Scheme
regarding Confidentiality**

The certification body

- a) reaffirms their undertaking to abide by the Rules and Procedures laid down in Publications IECEX 01 and IECEX 05.
- b) undertakes to maintain the confidentiality of the IECEX CoPC Question Bank as compiled from ExCB contributions and maintained and circulated by the IECEX Secretariat. The certification body has established and implemented policies and procedures that ensure that the content of the CoPC Question Bank is
 - only used for the purpose of preparing for the assessment of CoPC applicants
 - only disclosed to persons with a need to know the information for the above purposeand
 - ensure that anyone to whom the information is disclosed further abides by this agreement
- c) agrees to use all reasonable security measures to safeguard the contents of the IECEX CoPC Question Bank and to act in good faith in relation to the information at all times.
- d) accepts that this requirement is binding for the period that the Certification Body continues to be accepted in the IECEX Certified Persons Scheme.

(signature)

(date)

(name)

(role)

Bibliography

IAF GD 24:2004, *IAF Guidance on the application of ISO/IEC 17024:2003*
