



IECEX OPERATIONAL DOCUMENT

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

**Site Assessment Report for Assessment of IECEx Candidate and Accepted Ex
Certification Bodies (ExCBs) and Candidate and Accepted Ex Testing
Laboratories (ExTLs)**





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Site Assessment Report for Assessment of IECEX Candidate and Accepted Ex Certification Bodies (ExCBs) and Candidate and Accepted Ex Testing Laboratories (ExTLs)

Introduction

This Operational document provides a Report Template for completion by IECEX assessment teams when conducting site assessments, as part of the overall assessment of candidate Ex Certification Bodies (ExCBs) and candidate Ex Testing Laboratories (ExTLs).

This site assessment report may also be used for site visits conducted by IECEX assessors and teams as part of follow-up assessments, surveillance and re-assessment visits.

Unused annexes should be deleted and additional annexes may be added to this report. When such changes are made, the Contents should be updated.

Document History

Date	Summary
2002 06	Original Issue -Edition 1.0
2007 06	Edition 2.0 – Editorial changes as well as updates and additional TGDs
2012 10	Edition 3.0 – Change to format and editorial changes
2017 09	Edition 4.0 - Change from TGD to TCD, inclusion on information relating to Proficiency Testing. Format changes

Contents (update when report is complete – by Update Table, Update entire table)

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1 Assessment information

1.1 Type of Body covered by this assessment: <retain appropriate marks>

ExCB for IECEX Certified Equipment Scheme	✓
ExTL for IECEX Certified Equipment Scheme	✓
ExCB for IECEX Certified Service Facilities Scheme	✓
ExCB for IECEX Conformity Mark Licensing System	✓

NOTE 1 ExCB - IECEX Certification Body

NOTE 2 ExTL - IECEX Testing Laboratory

1.2 Type of assessment: <retain appropriate marks>

Pre-assessment for candidate body	✓
Initial assessment for candidate body	✓
Surveillance	✓
Re-assessment	✓
Scope extension	✓

1.3 Details of body

1.3.1 Country

1.3.2 Name of body

1.3.3 Name and title of nominated principal contact

Name	Title	E-mail address

1.4 Assessment information

Members of the assessment team

Name	Role (modify as necessary)
	IECEX Lead Assessor
	IECEX Assessor
	IECEX Assessor

1.4.1 Place(s) of assessment

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1.4.2 Assessment date(s)

2 Recommendation by IECEx Assessor(s) at conclusion of site visit

That acceptance be granted	✓
That acceptance be granted conditional on <add conditions>	✓
That acceptance be suspended	✓
That acceptance continues	✓
That acceptance continues conditional on <add conditions>	✓

3 Summary of findings

			Y/N/NA	Comments	
ExCB Assessment	IECEX 02 requirements	Confirmation of Scope of IECEx Acceptance or scope of application, (for new applicant)			
		Confirmation that details in original application are still current (for new application)			
		Confirm currency and scope of accreditation (ISO/IEC 17065), if applicable			
		Clause 11.1.1	(a) in a participating country		
			(b) operate recognized certification scheme		
			(c) competence demonstrated by assessment		
		Clause 11.1.2 (has the ExCB defined national certification requirements?)			
		Clause 11.1.3 Recognition of ExTRs to Secretary ExMC - Procedures for national cert. - Whether foreign manufacturer must make application through resident			
ISO/IEC 17065 assessment—satisfactorily completed (for bodies without acceptable national accreditation). Checklist OD107 provided separately.					
ExTL Assessment	IECEX 02 Requirements	Confirmation of Scope of IECEx Acceptance or Scope of Application for new application			
		Confirmation that details in original application are still current (for new applications)			
		Confirm currency and scope of accreditation (ISO/IEC 17025), if applicable.			
		Clause 11.2.1	(a) in a participating country		
			(b) operate under control of ExCB or with written agreement		
			(c) competence demonstrated by assessment		
		Clause 11.2.3 assessment			
		Clause 11.2.4 draft report & resolution of differences			
Confirmation of declaration made under Annex A of IECEx 02					

	ISO/IEC 17025 assessment–satisfactorily completed (for bodies without acceptable national accreditation). Checklist OD018 provided separately.		
	Satisfactory completion of IECEX Technical Capability Documents (TCDs) (depending on scope) and confirmation that the Testing Laboratory has all <u>mandatory-minimum</u> testing capabilities as listed throughout the TCD		

3.1 Additional remarks concerning requirements of TCDs (if any)

4 Conclusion of site assessment

4.1 General

The purpose of the site assessment was to verify compliance with the requirements of the IECEX Scheme for the initial and on-going acceptance of an Ex Certification Body (ExCB) and/or an Ex Testing Laboratory (ExTL). The site assessment forms part of the overall evaluation of the body by the IECEX Management Committee, ExMC and was conducted in accordance with the IECEX Scheme Assessment Procedures, ExMC/OD003. Report of the on-site assessment team is as follows:

<insert information>

4.2 Observations

a) <include observations here>

4.3 Target date for resolution of issues

The following was agreed as the target date for resolution of issues: <insert information>

5 Actions after visit

<insert information after issues have been addressed, such as the date when actions were sent>

6 Recommendation by IECEX Assessor(s) after all issues resolved

Based on the assessment performed above, <body > is/is not recommended for (continued) acceptance in the IECEX scheme as:

- An ExCB in the IECEX Certified Equipment Scheme
- An ExTL in the IECEX Certified Equipment Scheme
- An ExCB in the IECEX Certified Service Facilities Scheme
- An ExCB in the IECEX Conformity Mark Licensing System

<name>	<name>	<name>
IECEX Lead Assessor	IECEX Assessor	IECEX Assessor

Date:

7 Annexes

See Contents. (add,modify or delete annexes as necessary). Please note the following instructions for the IEC template:

NOTE When creating a new annex **DO NOT** type the word Annex, just create a new empty page and then apply the styles ANNEX_title to the first (empty) line. The word "Annex" followed by the letter "A" or "B", etc will automatically appear. To delete annexes delete the annex titles and update the contents.

TIP: When typing annex titles, separate the lines of the title by "shift+return"

Redline Version

Annex A
ExCB IECEX02 issues and subsequent responses

The following shows issues raised at the assessment and shown in the first draft of the ExCB assessment report, together with subsequent actions.

Issues raised in assessment and first draft of report	Response from <body> on <date> and as shown	Assessor comments
1.		See note
2.		
3.		

NOTE: Options include (but are not limited to):

Still open.

Resolved. No further action required.

Redline Version

Annex B
ExTL issues and subsequent responses

The following shows issues raised at the assessment and shown in the first draft of the ExTL assessment report, together with subsequent actions.

Issues raised in assessment and first draft of report	Response from <body> on <date> and as shown	Assessor comments
1.		
2.		
3.		

Redline Version

Annex C
ExCB IECEX03 issues and subsequent responses

The following shows issues raised at the assessment and shown in the first draft of the ExCB assessment report, together with subsequent actions.

Issues raised in assessment and first draft of report	Response from <body> on <date> and as shown	Assessor comments
1.		
2.		
3.		

Redline Version

Annex D
Assessor notes – Assessor 1

Redline Version

Annex E
Assessor notes – Assessor 2

Redline Version

Annex F
Assessor notes – Assessor 3

Redline Version

Annex G
Record of reviews of CoCs, ExTRs, QARS

CoC, ExTR, QAR number	Notes on review	Issue raised?

Redline Version

Annex H
Record of reviews of FARs

FAR Number, company	Notes on review	Issue raised?

Redline Version

Annex I
Information on competencies

Redline Version

Annex J
Information on contracting/subcontracting

Redline Version

Annex K Participation in IECEx Proficiency Testing Program

Program: PTB Ex PT Scheme <note if involved in any other program>

NOTE Assessors will also need access to each of the final reports issued by PTB. They will also need to get codes from the laboratory being assessed so they can check the laboratory's results in the PTB reports. A critical feature of each report is normally the showing of an assigned value against the various tests. This value should be used by assessors when making judgment on whether the results obtained by the laboratory are considered satisfactory.

IECEX Proficiency Testing program	Program years	Participated? Y/N/NA	Results in relation to assigned value	Other comments, including whether results are considered satisfactory
Program 1 "Explosion pressure"	2011-2012			
Program 2 "Spark ignition"	2011-2012			
Program 3 "Flame Transmission"	2013-2014			
Program 4 "Temperature Classification"	2013-2014			
Program 5 "Electrostatic Charge"	2015-2016			
Program 6 "Intrinsic Safety"	2015-2016			

NOTE N/A would normally apply when the relevant standard is not in the scope of the laboratory

<Additional comments>