**INTERNATIONAL ELECTROTECHNICAL COMMISSION IEC SYSTEM FOR**

**CERTIFICATION TO STANDARDS RELATING TO EQUIPMENT FOR USE IN**

**EXPLOSIVE ATMOSPHERES (IECEx SYSTEM)**

TITLE: Draft Edition 2.0, Revised Form F-004, Revised Site Assessment Report for Assessment of IECEx Candidate and Accepted Ex Certification Bodies (ExCBs) and Candidate and Accepted Ex Testing Laboratories (ExTLs)

**CIRCULATION: IECEx Management Committee, ExMC**

**INTRODUCTION**

In line with Recommendation 2 from the ExAG Report, ExMC/1639/R, This document is issued as the Draft Edition 2.0 of the F-004 IECEx Site Assessment Report Form, prepared by the ExAG and submitted for consideration at the 2020 IECEx Remote Meeting under Agenda Item 7, ExMC/1614A/DA.

**Chris Agius**

**IECEx Executive Secretary**

|  |  |
| --- | --- |
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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)

**Introduction**

This Form 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  2007 06  2012 10  2017 09  2018 May  2020 August | Original Issue -Edition 1.0 of **IECEx OD 006**  Edition 2.0 – Editorial changes as well as updates and additional TGDs  Edition 3.0 – Change to format and editorial changes  Edition 4.0 - Change from TGD to TCD, inclusion on information relating to Proficiency Testing. Format changes  Originally published as IECEx OD 006 and revised as per above history. Now republished (content and format unchanged other than the addition of Program 8 details in Annex K) as **F-004**, Edition 1.0  Update to align with new F-003 and to include provision for IECEx 05. |

IECEx ExCB/ExTL assessment report for <Insert body name>

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

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# Assessment information

## Type of Body covered by this assessment:



<Check appropriate boxes>

|  |  |
| --- | --- |
| ExCB for IECEx Certified Equipment Scheme |  |
| ExTL for IECEx Certified Equipment Scheme |  |
| ATF for IECEx Certified Equipment Scheme |  |
| ExCB for IECEx Certified Service Facilities Scheme |  |
| ExCB for IECEx Conformity Mark Licensing System |  |
| ExCB for IECEx Certification of Personnel Competency Scheme |  |

NOTE 1 ExCB - IECEx Certification Body

NOTE 2 ExTL - IECEx Testing Laboratory

NOTE 3 ATF – Additional Testing Facility

## Type of assessment:

<Check appropriate boxes>

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



## Details of body

### Country

### Name of body

### Name and title of nominated principal contact

|  |  |  |
| --- | --- | --- |
| Name | Title | E-mail address |
|  |  |  |

## Assessment information

Members of the assessment team

|  |  |
| --- | --- |
| Name | Role (modify as necessary) |
|  | IECEx Lead Assessor |
|  | IECEx Assessor |
|  | IECEx Assessor |

### Place(s) of assessment

|  |  |
| --- | --- |
|  |  |

### Assessment date(s)

# 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> |  |

# Summary of findings

## IECEx Certified Equipment Scheme

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  |  |  | | **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/ATL  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 minimum testing capabilities as listed throughout the TCD | | |  |  |

## Certified Service Facilities Scheme

If applicable, insert appropriate information for IECEx 03 Certified Service Facilities Scheme here.

## IECEx Conformity Mark Licensing System

If applicable, insert appropriate information3 Certified Service Facilities Scheme here.

## IECEx Personnel Competence Scheme

| IECEx CoPC scheme requirements | | | Y/N/NA | Comments |
| --- | --- | --- | --- | --- |
| IECEx 05 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 17024), if applicable | |  |  |
| Clause 9.1 | (a) in a participating country |  |  |
| (b) operate recognized certification scheme |  |  |
| (c) competence demonstrated by assessment |  |  |
| Assessment facilities considered by Assessment team to be appropriate and adequate for assessment of Units, according to OD 504? | |  |  |
| Confirmation of which location is the official ExCB location, where more than 1 location is identified?  an official ExCB location is one where the following are conducted:  applications received,  contract review (review of application)  assignment of application to ExCB staff  review of exam/assessments  decision to issue Certificate  (Contact IECEx Secretary for any questions) | |  |  |
| ISO/IEC 17024 Assessment–Satisfactorily Completed (for bodies without acceptable national Accreditation). Checklist OD507 provided separately. | | |  |  |

## Additional remarks concerning requirements of TCDs (if any)

# Conclusion of site assessment

## 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>

## Observations

1. <include observations here>

## Target date for resolution of issues

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

# Actions after visit

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

# 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 ATF in the IECEx Certification Equipment SchemeAn ExCB in the IECEx Certified Service Facilities Scheme
* An ExCB in the IECEx Conformity Mark Licensing System
* An ExCB in the IECEx Certification of Personnel Competency Scheme

|  |  |  |
| --- | --- | --- |
| <name> | <name> | <name> |
| IECEx Lead Assessor | IECEx Assessor | IECEx Assessor |

Date:

# 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"

1. 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 |
|  |  | See note |
|  |  |  |
|  |  |  |

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

**Still open.**

**Resolved. No further action required**.

1. 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. ATF issues and subsequent responses

The following shows issues raised at the assessment and shown in the first draft of the ATF 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. 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. ExCB IECEx04 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. ExCB IECEx05 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. Assessor notes – Assessor 1
2. Assessor notes – Assessor 2
3. Assessor notes – Assessor 3
4. Record of reviews of CoCs, ExTRs, QARS for IECEx 02

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

1. Record of reviews of CoC, FARs

|  |  |  |
| --- | --- | --- |
| CoC, FAR Number, | Notes on review | Issue raised? |
|  |  |  |
|  |  |  |

1. Record of reviews of EFOCs, CoCs and PCARs

|  |  |  |
| --- | --- | --- |
| EFOC, CoC, PCAR Number, | Notes on review | Issue raised? |
|  |  |  |
|  |  |  |

1. Information on competencies
2. Information on contracting/subcontracting

NOTE The following expectation from IECEx is provided to bodies and assessors regarding subcontracting:

* All tests that may need to be subcontracted need to be identified. These tests and the need for subcontracting shall be clearly identifiable in the TCD.
* For tests that are expected to be subcontracted reasonably frequently (eg at least once a year), a contract shall be in place for that subcontracting.
* For tests that are unlikely or infrequently expected to be subcontracted, the body shall have appropriate procedures for selecting a subcontractor but do not have to identify the subcontractor for the purpose of the assessment.
* The review of subcontracted suppliers should include information regarding any accreditations or IEC acceptances they have (IECEx or IECEE) and this information should be included in the relevant annex in the site assessment report.
* Where the subcontracted body does not hold accreditation, evidence should be provided that the subcontractor has been assessed by the body.

1. Participation in IECEx Proficiency Testing Program

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

NOTE Assessors will be provided with a report from the IECEx Secretariat.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| 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 |  |  |  |
| Program 7 "Explosion Pressure" | 2017-2018 |  |  |  |
| Program 8 "Pressurized Enclosure" | 2017-2018 |  |  |  |
| Program 9 “Battery Testing” | 2019-2020 |  |  |  |
| Program 10 “Tests of Enclosures” | 2019-2020 |  |  |  |

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

<Additional comments>