

Remote IECEx Assessor Training Session

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Scope

- ▶ Use of Remote Assessments of ExCBs and ExTLs as provided by OD 060
- ▶ Proposed revisions to IECEx Assessment Documents including:
 - ▶ F-003
 - ▶ F-004
 - ▶ OD 003-1
 - ▶ F-007
 - ▶ OD 003-2
 - ▶ OD 032
 - ▶ OD 316-4

Use of Remote Assessments of ExCBs and ExTLs as provided by OD 060

- ▶ OD 060 Edition 2.0 *IECEX Guide for Business Continuity - Management of Extraordinary Circumstances or Events affecting IECEX Certification Schemes and Activities*
- ▶ Changed from proposed interim solution to longer term solution

Assessments of ExCBs and ExTLs

Key aspects:

- ▶ Intended to apply when Extraordinary Circumstances or Events present themselves
- ▶ Current problem - lack of ability for assessors to travel due to COVID-19 and similarly for many ExCB auditors
- ▶ IECEx may conduct risk assessment to defer assessments
- ▶ Use may be made of IECEx Assessors located within the same country (requires impartiality declaration)

Use of Remote Assessments of ExCBs (All Schemes) and ExTLs as provided by OD 060

Scope extensions

- ▶ May use video communications for closing out issues
- ▶ May use video communications for ExCBs' scope extensions
- ▶ May use video communications for ExTLs' scope extensions involving verifying preparation/operation of a specific test where agreed by assessor, IECEx Executive Secretary and Officers of ExAG
- ▶ Video and remote communication for assessment plan developed by the IECEx Lead Assessor in consultation with the ExCB / ExTL - IECEx Secretariat and ExAG may be consulted
- ▶ IECEx Executive Secretary shall determine the course of action, following consultation with the IECEx Executive, where an agreement is not reached between the IECEx Assessment Team and ExCB / ExTL

Use of Remote Assessments of ExCBs and ExTLs as provided by OD 060

New applicant ExCBs and ExTLs

- ▶ Assessment team to be assigned
- ▶ Remote means may be used for assessment - requires agreement from the IECEx Executive Secretary following consultation with the Officers of the ExAG
- ▶ Delays may occur

Additional Information on Remote Assessments of ExCBs and ExTRs

- ▶ Revisions to OD 032 have now included additional information in relation to remote assessments
- ▶ OD 233 *IECEX Certified Equipment Scheme - Assessment of Ex "s" Equipment* Annex A has always had the following statement: "The IECEx assessment of the ExCB and ExTL may be undertaken as part of an on-site assessment or via an "off-site" assessment of the ExCBs procedures and interview with staff via Web based Conferencing, arranged and managed by the IECEx Secretary"
- ▶ Annex H of TC 31 Good Working Practice provides useful information - see link <https://www.iec.ch/public/miscfiles/gwp/31.pdf>

Use of Remote Assessments of ExCBs and ExTRs as provided by OD 060

Experiences

- ▶ All recent IECEx assessments done remotely
- ▶ I have done the following remote assessments:
 - ▶ Pre-assessment of ExCB
 - ▶ Partial pre-assessment of ExTL
 - ▶ Mid-term assessment of ExCB/ExTL
 - ▶ Scope extension assessment of same ExCB/ExTL (for IEC 60079-33)
 - ▶ Initial assessment of ExCB
 - ▶ Surveillance assessment of ExCB and ExTL (concentrating on ExTL)

Discussion on my experience and other assessors for remote assessments

- ▶ Provide a quote for total time rather than breaking into online and offline
- ▶ Do more work offline than usual, especially beforehand
- ▶ Try to work online in the time frame of the body being assessed to improve availability of staff
- ▶ Still hold opening and closing meetings
- ▶ Attach completed attendance form (F-005) as an Annex in the site assessment report
- ▶ Incorporate breaks, preferably in their normal break times

Discussion on my experience and other assessors for remote assessments (ctd)

- ▶ When witnessing tests, get them to take photos in addition to any you may take via screen capture
- ▶ Provide draft reports in the usual way at the end of the closing meeting
- ▶ For sensitive documents, can look at using screen share or agree to delete at end of the process
- ▶ Follow-up and reporting - works the same, except if follow-up assessment needed
- ▶ Experiences of other assessors?

Assessment of manufacturers - QARs

- ▶ Not acceptable for an ExCB to simply do nothing
- ▶ QAR issuing ExCB's responsibility to ensure that QAR's remain in compliance with all applicable IECEx ODs
- ▶ Possible to delay an audit for up to six months - should be the exception rather than the rule
- ▶ Provisions for manufacturer shut-down by an extraordinary event
- ▶ Provisions for QAR audits performed by remote means
- ▶ For initial audit, on-site surveillance audit as soon as practicable
- ▶ Provisions for new applications for CoC

IECEx Certified Services Scheme

- ▶ New applications for Certified Service Facility - if possible wait to be able to do a visit
- ▶ Provisions where temporary closure of Service Facility
- ▶ Provisions where Service Facility operational but affected
- ▶ Provisions where Service Facilities with other circumstances

IECEX 05 Certificate of Personal Competence Scheme, CoPC

- ▶ Provisions for postponing re-certification up to 6 months
- ▶ Provisions for other means, such as video communication
- ▶ No special provisions for new applications for CoPC

Proposed revisions to IECEx Assessment Documents

- ▶ F-003
- ▶ F-004
- ▶ OD 003-1
- ▶ F-007
- ▶ OD 003-2
- ▶ OD 032
- ▶ OD 316-4

Proposed revisions to IECEx Assessment Documents - Major changes

F-003 ExCB-ExTL assessment report

- ▶ All schemes now covered
- ▶ Section for ATFs
- ▶ For IECEx 02 Scope is now in Annex A and broken into current and superseded standards
- ▶ It is likely a similar approach will be used for applications for ExCBs, ExTLs and ATFs
- ▶ Only 2 years of certificates needed
- ▶ Number of ExTRs not required for accepted integral ExTLs

Proposed revisions to IECEx Assessment Documents

F-004 Site assessment report

- ▶ All Schemes now covered
- ▶ Section for ATFs
- ▶ Aligns with revised F-003

Proposed revisions to IECEx Assessment Documents

OD 003-1 Appointment and surveillance of assessors for IECEx certification schemes

- ▶ Processes modified to reflect roles of Secretariat and ExAG
- ▶ Section on technical skills and competence expanded to:
 - ▶ Provide more details regarding “five year’s practical experience”
 - ▶ Provide requirements for IECEx 03

F-007 Assessor application

- ▶ Modified to include IECEx 03 information consistent with OD 003-1

Proposed revisions to IECEx Assessment Documents

OD 003-2 Assessment, surveillance assessment and re-assessment of ExCBs and ExTLs operating in the IECEx 02, IECEx Certified Equipment Scheme

- ▶ Addition of ATFs throughout
- ▶ Changes to reflect roles of ExAG
- ▶ Representative of ExCB to be present at assessments of separate ExTLs
- ▶ Representative of ExTL to be present at assessments of separate ATFs
- ▶ Clarified mid-term surveillance of ExTLs is considered to cover all ATFs under their responsibility

Proposed revisions to IECEx Assessment Documents

OD 003-2 (Continued)

- ▶ Mid-term surveillance is conducted at the ExCB premises but may also be necessary at separate ExTL
- ▶ Initial assessment team can recommend ExCB has mid-term surveillance sooner than 2.5 year
- ▶ Provision for possible witnessed assessment of surveillance activities of manufacturers
- ▶ Travel times charged for each assessment visit shall not normally exceed one day
- ▶ Additional information about proficiency testing - Annex B for those not involved
- ▶ Existing pre-assessment information moved to new Section 4

Proposed revisions to IECEx Assessment Documents

OD 032 Guidelines and Information for IECEx Assessments

- ▶ More information on role of Secretariat, eg about PTP
- ▶ Clarification on process to gain approval for cost estimate
- ▶ Additional guidance on use of video or tele-conferencing

Proposed revisions to IECEx Assessment Documents

OD 316-4 Assessment procedures for IECEx acceptance of Candidate Certification Bodies (ExCBs) for the purpose of issuing IECEx Certificates to Ex Service Facilities providing Ex installations related services

Main changes relate to witnessing of assessment of ExCB for an Ex service facility, as follows.

- ▶ Bodies with acceptable accreditation:
 - ▶ Witness first assessment of Ex service facility after acceptance
 - ▶ Not normally required to be repeated at re-assessment
- ▶ Bodies without acceptable accreditation:
 - ▶ Witness first assessment of Ex service facility after acceptance
 - ▶ To be repeated at re-assessment

Expected to also be applied for OD 316-5 for repair facilities