INTERNATIONAL ELECTROTECHNICAL COMMISSION IEC SYSTEM FOR

CERTIFICATION TO STANDARDS RELATING TO EQUIPMENT FOR USE IN

EXPLOSIVE ATMOSPHERES (IECEx SYSTEM)

IECEx Checklist for the Review of IECEx CoCs, ExTRs, QARs

INSTRUCTION: This checklist is intended for use at mid-term assessments but may also be used for other assessments, such as re-assessments, and attached as an annex to the site assessment report.

# IECEx Body being assessed:

# IECEx Certificates of Conformity (CoCs)

INSTRUCTION: The objective of the review is to check that the information on the sampled Certificates is correct and complete as compared to the following criteria:

When reviewing IECEx Certification Files, at least the following key aspects of the Certificate shall be checked:

|  |  |
| --- | --- |
| IECEx certificate number: |  |
| Manufacturer and Manufacturing Locations: |  |
| Equipment: |  |
| Type(s) of protection: |  |
| Standards with editions: |  |
| Item to check | Complies? |
| A Test Report number and File Reference is included. |  |
| Manufacturer name detail is consistent with the linked ExTR(s) and QAR(s) |  |
| Manufacturer’s site street (not a PO Box) address is given  |  |
| Any attached Annex has a reference to the CoC number |  |
| Referenced Annexes are attached |  |
| “Specific Conditions of Use” are listed for “X” type Certificates AND text does NOT relate to “Conditions of Certification” |  |
| Equipment description is clear and sufficiently detailed |  |
| No major editorial mistakes  |  |
| Correct links to valid ExTR(s) and QAR(s) |  |
| Linked QAR(s) is current  |  |
| Manufacturer location(s) on CoC matches QAR(s) and there are QAR(s) covering all manufacturing locations listed on the CoC |  |
| Standards listed on CoC match Standards (including Edition #) on ExTR(s) |  |
| Scope of Certificate matches QAR and ExTR with respect to ExCB capability.  |  |
| Type of Protection Concept on CoC matches standards and QAR(s) |  |
| Where more than 1 issue exists, that they are linked, and changes between issues are explained on the CoC |  |
| Schedule of Limitations is included in CoC Equipment field or in an Annex for Ex Component certificates (“U” type) |  |
| Unit Verification Certificates include Serial #(s) |  |
| Other matters of relevance? |  |

# IECEx Test and Assessment Reports (ExTRs)

INSTRUCTION: The purpose of an IECEx Test Report (ExTR) is to provide a clause-by-clause documentation of the initial evaluation and testing that verified compliance of an item or product with an IEC Ex standard.

When reviewing IECEx Certification Files, at least the following key aspects of the **ExTR** shall be checked:

|  |  |
| --- | --- |
| **ExTR Number:** |  |
| Item to check | Complies? |
| Technical aspects:  |  |
| That the information contained within the ExTR is sufficient to enable a clear conclusion to be drawn that the equipment complies with the relevant clauses of the Standards listed  |  |
| Administrative aspects: |  |
| Use of IECEx Blank ExTR Forms |  |
| Evidence that the ExTL has taken into account relevant ExTAG Decision Sheets |  |
| Product listed on related CoC matches that on the ExTR |  |
| Standards listed on CoC matches that on ExTR and are appropriate |  |
| ExTR registered on IECEx Website |  |
| Drawing list is included |  |
| All parts of the ExTR Blank form have been completed. Noting that clauses of the standard that may not apply to the product have been identified as N/A or other means and that such exclusions are appropriate for the product covered by the ExTR |  |
| Persons listed as conducting the tests and completing the ExTR are those identified by the ExTL as being competent and/or listed on their internal competency matrix. |  |
| The ExTL’s associated ExCB indicates final approval of the ExTR as part of the overall ExTR package on the associated ExTR Cover |  |
| Other matters of relevance? |  |

# IECEx Quality Assessment Reports (QARs)

INSTRUCTION: The purpose of an IECEx Quality Assessment Report (QAR) is to provide a clause-by-clause documentation of the manufacturing quality system compliance with the requirements of ISO/IEC 80079-34 in order to maintain confidence that the manufacturing production of product, listed on an IECEx CoC will continue to comply with the Standards listed on the CoC.

When reviewing IECEx Certification Files, at least the following key aspects of the QAR shall be checked:

|  |  |
| --- | --- |
| QAR Number: |  |
| Item to check | Complies? |
| Technical aspects:  |  |
| That the information contained within the QAR is sufficient to enable a clear conclusion to be drawn that the manufacturing production procedures comply with ISO/IEC 80079-34 |  |
| Administrative aspects:  |  |
| Use of IECEx Blank QAR Forms |  |
| Evidence that the ExCB has taken into account relevant ExTAG Decision Sheets |  |
| Product or Protection Techniques listed on related CoC match those on the QAR |  |
| Manufacturing location(s) listed on the CoC match those on the QAR |  |
| QAR is registered on IECEx Website |  |
| Duration between surveillance audits of the manufacturers complies with IECEx Rules, for example, maximum 12 month intervals where the manufacturing site(s) does NOT hold ISO 9001 certification and 18 month maximum intervals where the manufacturing site(s) do hold ISO 9001 certification |  |
| All parts and sections of the QAR Blank form have been completed. Noting that clauses of the standard that may not apply to the product have been identified as N/A or by other means and that such exclusions are appropriate |  |
| Persons listed as conducting the audits and completing the QARs are those identified by the ExCB as being competent and/or listed on their internal competency matrix. |  |
| Audit report findings and NCRs have been closed out. |  |
| Other matters of relevance? |  |