IECEx OD 003-1

IECEx
OPERATIONAL DOCUMENT

IEC System for Certification to Standards Relating to Equipment for Use in Explosive Atmospheres (IECEx System)

**Assessment procedures for IECEx acceptance of applicant Ex Certification Bodies (ExCBs), Ex Testing Laboratories (ExTLs) and Additional Testing Facilities (ATFs) –
Part 1: Appointment and surveillance of assessors for IECEx certification schemes**

About the IEC
The International Electrotechnical Commission (IEC) is the leading global organization that prepares and publishes International Standards for all electrical, electronic and related technologies.

About IEC publications
The technical content of IEC publications is kept under constant review by the IEC. Please make sure that you have the latest edition, a corrigendum or an amendment might have been published.

IEC publications search - webstore.iec.ch/advsearchform
The advanced search enables to find IEC publications by a variety of criteria (reference number, text, technical committee, …). It also gives information on projects, replaced and withdrawn publications.

IEC Just Published - webstore.iec.ch/justpublished
Stay up to date on all new IEC publications. Just Published details all new publications released. Available online and once a month by email.

IEC Customer Service Centre - webstore.iec.ch/csc
If you wish to give us your feedback on this publication or need further assistance, please contact the Customer Service Centre: sales@iec.ch.

IEC online collection - oc.iec.ch
Discover our powerful search engine and read freely all the publications previews. With a subscription you will always have access to up to date content tailored to your needs.

Electropedia - www.electropedia.org
The world's leading online dictionary on electrotechnology, containing more than 22 000 terminological entries in English and French, with equivalent terms in 18 additional languages. Also known as the International Electrotechnical Vocabulary (IEV) online.

IECEx
OPERATIONAL DOCUMENT

IEC System for Certification to Standards Relating to Equipment for Use in Explosive Atmospheres (IECEx System)

Assessment procedures for IECEx acceptance of applicant Ex Certification Bodies (ExCBs), Ex Testing Laboratories (ExTLs) and Additional Testing Facilities (ATFs) –
Part 1: Appointment and surveillance of assessors for IECEx certification schemes

INTERNATIONAL
ELECTROTECHNICAL
COMMISSION

CONTENTS

INTERNATIONAL ELECTROTECHNICAL COMMISSION

_____

IECEx Operational Document OD 003-1 –

**Assessment procedures for IECEx acceptance of applicant
Ex Certification Bodies (ExCBs), Ex Testing Laboratories (ExTLs) and
Additional Testing Facilities (ATFs) –
Part 1: Appointment and surveillance of assessors for
IECEx certification schemes**

FOREWORD

This operational document has been prepared to detail the process for appointing IECEx assessors and to establish a general Code of Conduct for all IECEx assessors appointed by the IECEx ExMC, via the IECEx ~~Management Committee, ExMC~~ Ex Assessment Group, ExAG. This document replaces the previous edition of the document OD 003-1.

This document also sets out requirements for the maintenance of assessors' competencies and the on-going verification of acceptance by ExMC as a means of maintaining international confidence in the IECEx ExCB, ExTL and ATF assessment process.

This redline version of IECEx OD 003-1 highlights the changes made to the previous edition. A vertical bar appears in the margin wherever a change has been made. Additions are in green text, deletions are in strikethrough red text.

Document history

Date	Summary
April 2009	Edition 1.0 This document supersedes and replaces ExMC/102/CD Surveillance of IECEx Assessors.
September 2017	Edition 2.0 This document supersedes and replaces OD 003-1 Edition 1.0.
February 2021	Edition 3.0 This document supersedes and replaces OD 003-1 Edition 2.0. This was accepted by vote on ExMC/1642/DV as reported as ExMC/1668/RV.

Address:

IECEx Secretariat c/o IEC Sydney Office
The Executive Centre
Australia Square, Level 33
264 George Street
Sydney, NSW 2000
Australia

Contact details:

Tel: +61 2 4628 4690
Fax: +61 2 4627 5285
info@iecex.com
www.iecex.com

**Assessment procedures for IECEx acceptance of applicant
Ex Certification Bodies (ExCBs), Ex Testing Laboratories (ExTLs) and
Additional Testing Facilities –
Part 1: Appointment and surveillance of assessors for IECEx certification
schemes**

1 Scope

This operational document addresses the appointment and surveillance of IECEx assessors for all the schemes within the IECEx System.

2 Application

The applicant assessor shall complete ExMC/43/Q ~~(latest version)~~ IECEx Assessor Application and attach a copy of their current Curriculum Vitae.

3 Endorsement of application

The application shall be reviewed and endorsed by the applicant's National Member Body and forwarded to the ExMC ~~Secretary~~ Secretariat. This process shall include a review of the assessor competences as required by 10.1 and Annex A of this operational document. The supporting information for this review may initially be provided to the National Member Body by the applicant assessor's sponsoring organization/employer.

4 IECEx assessor training

The applicant ~~will need to~~ must attend IECEx assessor training prior to final acceptance. This ~~day~~ training may be attended any time after the application is made but consideration will be given to including others when the training is conducted, for example those just about to make application.

NOTE The members of ~~ExMC WG4~~ ExAG have a standing invitation to attend IECEx assessor training sessions.

5 Review by ~~ExMC Secretary~~ IECEx Secretariat

~~The ExMC Secretary determines that the application is in order and forwards copy/ies to the Convenor of Working Group 4: Technical Reference Group for Assessment of ExCBs and ExTLs.~~

The IECEx Secretariat then checks if the application contains all the required documents and for evidence that the applicant has completed assessor training and seeks additional information if needed. Once the application is complete it is forwarded to the Convenor and Deputy Convenor of ExAG for them to review the application against the criteria for an assessor.

6 Review by ~~ExMC WG4~~ ExAG

~~The ExMC WG4 Convenor will circulate the application to the WG members for review of the application/s. If accepted by the WG, their recommendation/s will then be provided to the ExMC Secretary.~~

The review by the ExAG Convenor and Deputy Convenor is documented and a recommendation is also included in that spreadsheet. The recommendation will include the IECEx schemes for which acceptance is recommended and may include recommended restrictions based on the assessor's competencies.

7   **Voting and** acceptance by ~~ExMC~~ ExAG

~~Once the above recommendation is received, the ExMC Secretary will prepare a document for consideration by the ExMC. If an applicant has not undergone IECEx assessor training, they may be accepted subject to them attending IECEx assessor training.~~

The Convenor of ExAG will then organize with the IECEx Secretariat to submit the application to vote by ExAG, together with the application documents and the review result. The voting period will normally be four weeks but may be extended to six weeks if it is close to a summer holiday period (Northern or Southern Hemisphere).

8   Entry into the list of approved assessors

If there is a majority of votes in favour of the application, the candidate is appointed as an assessor by the IECEx Executive Secretary and added to the list of assessors on the IECEx website. The applicant will be advised of his/her appointment by the Convenor of ExAG. Following an applicant's acceptance by the ~~ExMC~~ ExAG, the ExMC Secretary will arrange for official notification, and entry in the list of IECEx Approved Assessors and Assessment Teams, on the IECEx website www.iecex.com.

9   Reporting to ExMC

The ExAG will provide a report to the ExMC for noting, with information about assessors who have been accepted by ExAG.

10 General requirements for all assessors

All assessors, when conducting ExCB, ExTL and ATF assessments, shall follow the assessment procedures as outlined in the following documents, as applicable: IECEx OD 003-2, IECEx Technical Capability Documents, and the IECEx Scheme Rules IECEx 02, IECEx 03 series, IECEx 04 and IECEx 05.

IECEx assessors are expected to act professionally and in a timely manner at all times during the assessment process, including not allowing any commercial or other interests to impair their judgement.

11 Competencies and skills of assessors and lead assessors

11.1   Assessors

Applicant assessors are expected to have the competencies and skills shown in Annex A. These shall be reviewed by the national member body as part of the application process. Assessors must have both general competence, and technical competence and skills detailed in the annex. In addition, assessors shall meet the following, which shall be detailed in the application form:

* Good English skills, both written and verbal
* Auditor training on ISO/IEC 17065, ISO/IEC 17025, ISO/IEC 17024 or ISO 9001
* Employment or other experience relevant to Ex
* IECEx experience over a period of at least five years
* Relevant auditing experience of at least five years

11.2 Lead assessors

Appointment of lead assessors will be by invitation by the Chair of IECEx from the existing pool of assessors. Each new lead assessor will be required to initially lead at least one assessment ~~at least~~ under supervision of an existing lead assessor, prior to being recommended for appointment as a lead assessor. The Chair of IECEx may consult with ~~WG4 Chairman~~ ExAG Convenor as part of the process of decision making on the appointment of a lead assessor.

Lead assessors are expected to be able to demonstrate the ability to lead ISO 9001 audits. For example, a lead auditor with an ExCB body auditing to ISO/IEC 80079-34 would meet this requirement.

12 Communication

Assessors shall respond in a timely manner to all correspondence relating to the IECEx Assessment or any other IECEx System matters. In general, a maximum response time of 48 hours, from receiving the correspondence.

Email ~~or Fax~~ correspondence is expected. Assessors shall always ensure that their contact details, as recorded on the IECEx website directory, are current and if not, to immediately notify the ~~ExMC Secretary at chris.agius@iecex.com~~ IECEx Executive Secretary.

13 Maintenance of competencies and skills

It is expected that all assessors will ensure that their technical knowledge of Ex matters and audit skills remain current and that they maintain up to date knowledge of changes in Ex standards and IECEx schemes' requirements.

Assessors are expected to maintain auditing skills.

Assessors are required to attend an IECEx assessor training at least once every two years. Those who do not meet these requirements may be removed from the assessor panel by the ~~ExMC~~ IECEx Executive Secretary on recommendation of ~~ExMC WG4~~ ExAG.

14 Acceptance of assigned tasks

Assessors are expected to accept assessment tasks assigned to them, noting that there may be periods during which assessors may be unavailable. In such instances, assessors shall inform the Secretariat of their unavailability and the period ~~of time~~ for which they are unavailable.

As noted in the application form, the availability of assessors is critical to the bodies being assessed and to the credibility of the IECEx System and its schemes. If assessors are consistently unable to be available for assessments or are not able to respond to issues related to assessments so they can be carried out and concluded in a timely manner, then their position ~~in the assessor panel~~ as an IECEx assessor will be reviewed.

15 The re-appointment of assessors

A periodic review of assessors (at approximately 5-year intervals) will be carried out by ~~ExMC WG4~~ ExAG. At this time assessors may be required to submit a new IECEx Assessor Questionnaire form ExMC/43/Q ~~(latest version)~~.

If an assessor fails to submit a new IECEx Assessor Questionnaire when requested during the review, the ~~ExMC~~ IECEx Executive Secretary may remove the assessor from the panel of appointed IECEx assessors.

16 Feedback on assessments and assessors

At the end of an assessment, when all issues have been resolved and the report finalized, the ~~ExMC~~ IECEx Executive Secretary will issue a form (IECEx OD 206) to the body that has been assessed seeking their feedback on the assessment process and the performance of the assessors.

In addition to the above, complaints regarding the conduct of an assessor may separately be raised with the ~~ExMC~~ IECEx Executive Secretary. These complaints shall be in writing.

Where there is a complaint, the Secretary shall notify the Convenor of ~~ExMC WG4~~ ExAG and in consultation with the IECEx Chair and Officers shall determine the course of action in relation to complaints about assessors. One option available is the removal of the assessor ~~from the assessor panel~~ as an appointed assessor. In such cases, the ~~Chairman of ExMC WG4~~ Convenor of ExAG shall report at the next ExMC meeting. The Secretary may need to adjust the above process if the ~~Chairman of ExMC WG4~~ Convenor of ExAG is the subject of the complaint.

The Secretary shall maintain a record of complaints and the action taken.

Feedback on the assessment process will be used by ~~ExMC WG4~~ ExAG to identify potential improvements to the assessment process.

Annex A

Competencies and skills for assessors

A.1   General competence

Assessors shall possess the following general competence:

a) Good interpersonal skills

b) Good oral and written communication skills

c) Basic knowledge of ISO 9001, ISO/IEC 17065, ISO/IEC 17025, ISO/IEC 80079-34, ISO/IEC 17040, and ISO/IEC 17024 as far as appropriate, and

d) Familiarity with the relevant IECEx rules, procedures and operational documents relevant to the scheme for which they are applying to be an assessor.

A.2   Technical competence and skills

Assessors shall possess the following technical competence and skills:

a) A broad knowledge of Ex philosophies including an understanding of:

- The ignition properties of flammable and combustible materials

- The properties, mechanisms, and control of ignition, and

- A significant range of protection techniques in the IEC 60079 series and ISO/IEC 80079 series of standards

b) Access to, or involvement in:

- IEC or corresponding national standards such that there is assured access to knowledge of all developments in those standards, and

- Ex research

c) Documentation and reporting skills and

d) At least five years' practical experience in the scope of the relevant IECEx scheme(s). This may be achieved, but not limited by:

- Employee or contractor for an ExCB, ExTL or ATF

- Ex responsible person within an Ex equipment manufacturer or situations associated with explosive atmospheres

- Involved in IECEx working groups or committees

- Expertise/consulting for IECEx products or services

For the IECEx 03 Scheme the following technical experience and knowledge is also relevant:

- Sufficient experience in the activities covered by the IECEx Certified Services Facility Scheme

- Sufficient experience in the "Ex service sector"

- Familiarity with the Standards as they apply to explosion protection techniques used by organizations covered by IECEx Certificates for Service Facilities, and

- Familiarity with IECEx 03 Scheme rules of procedure and operational documents.