



IECEX OPERATIONAL DOCUMENT

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

**Assessment Procedures for IECEx acceptance of Candidate Accepted
Certification Bodies (ExCBs) and Ex Testing Laboratories (ExTLs) –
Part 1: Appointment and Surveillance of IECEx appointed Assessors**





THIS PUBLICATION IS COPYRIGHT PROTECTED

Copyright © 2009 IEC, Geneva, Switzerland

All rights reserved. Unless otherwise specified, no part of this publication may be reproduced or utilized in any form or by any means, electronic or mechanical, including photocopying and microfilm, without permission in writing from either IEC or IEC's member National Committee in the country of the requester.

If you have any questions about IEC copyright or have an enquiry about obtaining additional rights to this publication, please contact the address below or your local IEC member National Committee for further information.

IEC Central Office
3, rue de Varembe
CH-1211 Geneva 20
Switzerland
Email: inmail@iec.ch
Web: www.iec.ch

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 corrigenda or an amendment might have been published.

- Catalogue of IEC publications: www.iec.ch/searchpub

The IEC on-line Catalogue enables you to search by a variety of criteria (reference number, text, technical committee,...). It also gives information on projects, withdrawn and replaced publications.

- IEC Just Published: www.iec.ch/online_news/justpub

Stay up to date on all new IEC publications. Just Published details twice a month all new publications released. Available on-line and also by email.

- Electropedia: www.electropedia.org

The world's leading online dictionary of electronic and electrical terms containing more than 20 000 terms and definitions in English and French, with equivalent terms in additional languages. Also known as the International Electrotechnical Vocabulary online.

- Customer Service Centre: www.iec.ch/webstore/custserv

If you wish to give us your feedback on this publication or need further assistance, please visit the Customer Service Centre FAQ or contact us:

Email: csc@iec.ch
Tel.: +41 22 919 02 11
Fax: +41 22 919 03 00



IECEX OPERATIONAL DOCUMENT

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

**Assessment Procedures for IECEx acceptance of Candidate Accepted
Certification Bodies (ExCBs) and Ex Testing Laboratories (ExTLs) –
Part 1: Appointment and Surveillance of IECEx appointed Assessors**

CONTENTS

INTRODUCTION..... 3

SECTION 1 – APPOINTMENT OF ASSESSORS

1 Application 4
2 Endorsement of Application 4
3 Assessor Review Day 4
4 Review by ExMC Secretary 4
5 Review by WG 4 4
6 Acceptance by ExMC 4
7 Entry into List of Approved Assessors 4

SECTION 2 – SURVEILLANCE OF ASSESSORS

8 General Requirements for all Assessors 5
9 Communication..... 5
10 Maintenance of Competencies and Skills..... 5
11 Acceptance of Assigned Tasks 5
12 The Re-Appointment of Assessors..... 5
13 Assessor Complaints 6

INTERNATIONAL ELECTROTECHNICAL COMMISSION

IECEX Operational Document 003-1**Assessment Procedures for IECEX acceptance of Candidate Accepted Certification Bodies (ExCBs) and Ex Testing Laboratories (ExTLs) – Part 1: Appointment and Surveillance of IECEX appointed Assessors**

INTRODUCTION

This Part 1 of the document OD 003 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 Management Committee, ExMC. This document replaces previous document ExMC/102/CD.

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 Assessment process.

This Part 1 is part of the overall revision of OD 003 which is to be issued in the following two Parts:

OD 003-1, *Appointment and Surveillance of IECEX appointed Assessors*

OD 003-2, *Procedures for the assessment, surveillance assessment and re-assessment of ExCBs and ExTLs* (to be issued)

Document ExMC/451/DV Draft OD 003 Part 1 was approved for publication as Part 1 of OD 003, during the 2008 ExMC Paris Meeting.

Document History

Date	Summary
April 2009	Edition 1 This document supersedes and replaces ExMC/102/CD Surveillance of IECEX Assessors

Address:

IECEX Secretariat
SAI Global Building
286 Sussex Street
Sydney NSW 2000
Australia

Contact Details:

Tel: +61 2 8206 6940
Fax: +61 2 8206 6272
e-mail: chris.agius@iecex.com
<http://www.iecex.com>

Assessment Procedures for IECEx acceptance of Candidate Accepted Certification Bodies (ExCBs) and Ex Testing Laboratories (ExTLs) – Part 1: Appointment and Surveillance of IECEx appointed Assessors

SECTION 1 – APPOINTMENT OF ASSESSORS

1 Application

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

2 Endorsement of Application

The application shall be reviewed and endorsed by the applicant's National Member Body and forwarded to the ExMC Secretary.

3 Assessor Review Day

The applicant will need to attend an IECEx Assessor Review Day prior to final acceptance. This day may be attended any time after the application is made.

4 Review by ExMC Secretary

The ExMC Secretary then 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.

5 Review by WG 4

The WG 4 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.

6 Acceptance by ExMC

Once the above recommendation is received, the ExMC Secretary will prepare a document for consideration by the ExMC.

7 Entry into List of Approved Assessors

Following an applicant's acceptance by the ExMC, and once an Assessor Review Day has been attended, the ExMC Secretary will arrange for official notification, and entry in the List of IECEx Approved Assessors and Assessment Teams, on the IECEx website.

SECTION 2 – SURVEILLANCE OF ASSESSORS

8 General Requirements for all Assessors

All Assessors, when conducting ExCB and ExTL assessments, shall follow the assessment procedures as outlined in the following documents OD 003 Part 2, IECEX Technical Guidance Documents, and the IECEX Scheme Rules, IECEX 02 and IECEX 03.

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.

9 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 hrs, from receiving.

E-mail or Fax correspondence is expected. Assessors shall at all times 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.

10 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 also expected to maintain auditing skills.

Assessors are required to attend an Assessor Review Day at least once every two years. Those who do not meet these requirements may be removed from the Assessor panel.

11 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 will be reviewed.

12 The Re-Appointment of Assessors

A periodic review of Assessors (at approximately 5-year intervals) will be carried out by ExMC Working Group 4: Technical Reference Group for Assessment of ExCBs and ExTLs. 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 Secretary may remove the Assessor from the panel of appointed IECEX Assessors.

13 Assessor Complaints

Any complaints regarding the conduct of an Assessor shall be raised with the ExMC Secretary, in writing.

The Secretary shall notify the Convenor of WG 4 and in consultation with the IECEX Chairman and Officers shall determine the course of action. One option available is the removal of the Assessor from the Assessor panel. In such cases, the Convenor of WG 4 shall report at the next ExMC meeting.

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

INTERNATIONAL
ELECTROTECHNICAL
COMMISSION

3, rue de Varembé
PO Box 131
CH-1211 Geneva 20
Switzerland

Tel: + 41 22 919 02 11
Fax: + 41 22 919 03 00
info@iec.ch
www.iec.ch