



**Secretariat**

**INTERNATIONAL ELECTROTECHNICAL COMMISSION**

**IEC SCHEME FOR CERTIFICATION TO STANDARDS FOR SAFETY OF ELECTRICAL  
EQUIPMENT FOR EXPLOSIVE ATMOSPHERES  
(IECEX SCHEME)**

**TITLE:** Draft Operational Decision “Guidance for the Preparation of IECEX ATRs by  
Issuing ACBs and the Processing of IECEX ATRs by Receiving ACBs”

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### **Introductory Note**

The purpose of this document is to establish a common approach amongst all Accepted Certification Bodies (ACBs), operating within the IECEX Scheme, of the processes involved in the issuing and receiving of IECEX Assessment and Test Reports (ATRs).

This document also establishes a common approach when testing and assessing products including the testing and assessment of product model variations.

This draft document has been prepared by the ExMC Chairman and Secretary to incorporate decisions from the 2000 ExMC and ExTAG meetings and replaces document ExTAG/06/CD which was considered at both the Braunschweig 2000 meetings. This document is considered most valuable in providing transparency and confidence, in the IECEX Scheme, by Scheme stakeholders, especially manufacturers, users and regulators.

While in draft form, this document is to be implemented by all ACBs when issuing IECEX ATRs or when receiving ATRs for the purpose of issuing their local national certification, however, National Committees are invited to submit any comments to the Secretariat by **30 June 2000**, for discussion at the next ExTAG and ExMC meetings.

## **Draft Operational Document - Guidance on Assessment and Test Reports (ATRs)**

This document provides guidance on the following matters concerning the preparation, issuing and receiving of ATRs:

- Results of assessments and tests
- Identification of an ATR and its parts
- Issuing and receiving an ATR and its parts
- Samples and photographs

### **1. Results of assessments and tests**

1.1 If the requirements of an IEC standard relevant to a particular product specify that a test shall be conducted, that test shall be done unless the ExTL decides that the test is not necessary on the basis of sound engineering rationale.

1.2 The results of the test or, if the test is omitted, the sound engineering rationale shall be recorded in the Evaluation Record. In the case of sound engineering rationale which is the subject of an ExTAG Decision Sheet reference to that sheet shall suffice.

1.3 An ACB receiving an ATR in which the omission of a test is justified by sound engineering rationale shall accept the justification unless it has reasonable doubts as to its acceptability. In the case of reasonable doubt the receiving ACB shall first discuss the justification with the issuing ACB. If the receiving ACB is not satisfied with the outcome of the discussions it may require the test to be carried out either by the original ExTL or by the ExTL associated with the receiving ACB.

1.4 If the ATR contains the results of assessments and/or tests to the national differences of the receiving ACB, the receiving ACB may, in the case of reasonable doubt, require additional testing to be carried out by the issuing ACB or by the ExTL associated with the receiving ACB

1.5 Where the ATR covers a range of models or product variants, the ATR shall clearly detail the relationship of variants to the basic model and how these have been dealt with during the test and assessment. There should be no ambiguity as to what equipment is covered by the ATR. In this instance, the actual models tested and the range recommended shall be defined. If an ACB receiving such an ATR has reasonable doubts concerning the applicability of the results, to the specified range, it may require the assessments and tests for some or all of those models or variants, not previously assessed or tested, to be carried out by the original ExTL or the ExTL associated with the receiving ACB.

### **2. Identification of an ATR and its parts**

2.1 Each ATR shall have a unique identification in the format:

Country/ACB/Year/Unique identifying characters

e.g. AU/QAS/00/AB2378D

The unique identifying characters are entirely at the choice of the issuing ACB. For consistency, ACBs should use the same identification or numbering format for all ATRs issued.

2.2 To maintain a central register, the issuing ACB shall forward a copy of the ATR cover page to the IECEx Secretariat, electronically in Word Format.

2.3 In the case of supplementary assessment and testing to cover changes to a product the ACB may either use a new number or add a suffix to the original number,  
e.g. AU/QAS/00/AB2378D/1.

2.4 An ATR cover sheet can apply to more than one IEC standard and therefore can cover multiple Sections 1 and 2. A separate Section 1 and Section 2 ATR shall be included for each standard.

2.5 Sections 1 and 2 can be numbered as individual documents. In this instance Section 1 shall clearly identify the Section 2 to which it relates.

2.6 Section 1 shall clearly identify where the information for each clause is located in Section 2.

2.7 Where more than one ExTL has been involved the ExTL responsible for each clause shall be clearly identified.

2.8 It is permissible for Section 2 to include enclosures or attachments to assist in gaining a clear understanding of the product and its assessment and testing. Such enclosures or attachments shall clearly identify the clause of the standard to which they relate.

### 3. Issuing and receiving an ATR and its parts

3.1 As required by the IECEx Rules, IECEx 02, ATRs are not to be used by manufacturers as a kind of certificate in the marketing of products. They are issued solely to help in obtaining certification from other ACBs.

3.2 The ExTL shall pass the Evaluation Record (Section 2 of the ATR) directly to the ACB for the completion of the ATR. This does not preclude the ExTL providing a copy of the Evaluation Record to the manufacturer in order to verify that the details regarding the product are correct.

3.3 An issuing ACB may pass the ATR back to the manufacturer or on request of the manufacturer, may pass on the ATR to another ACB.

3.4 The receiving ACB has the right to request an authenticated copy of the ATR from the issuing ACB. Authentication may be by affixing the stamp and official signature of the issuing ACB to a copy of the ATR or by other means acceptable to the receiving ACB.

3.5 Where no IECEx Evaluation Record blank form is available, for a particular standard or version of a standard, the receiving ACB may at its discretion agree to accept an Evaluation Record (Section 2 of the ATR) which is not in the IECEx format provided that full evidence of compliance is presented. However, bearing in mind that the ATR is intended to be issued once for acceptance by many ACBs, it is recommended that the IECEx format is used. The conventional Cover Page and Section 1 shall always be used.

#### 4. Samples and photographs

- 4.1 In case of reasonable doubt or of regulatory requirements, a receiving ACB has the right to request samples for inspection and/or photographs showing the complete equipment and details associated with the type of protection.

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