



**INTERNATIONAL ELECTROTECHNICAL COMMISSION SCHEME FOR
CERTIFICATION TO STANDARDS RELATING TO EQUIPMENT FOR USE
IN EXPLOSIVE ATMOSPHERES (IECEx SYSTEM)**

IECEx ASSESSMENT REPORT

**Title: Assessment Report for Initial Assessment of UL do Brasil, as an Accepted Ex
Certification Body (ExCB) for the IECEx 05 Certification of Personnel Competence
Scheme (CoPC)**

Introduction

This document provides a Report from the IECEx Assessment Team following the initial assessment of UL do Brasil for acceptance as an IECEx Certification Body (ExCB) for the IECEx 05 CoPC Scheme.

ExMC Members are requested to consider this Report and the Recommendation of the IECEx Assessment Team for the acceptance of UL do Brasil as an IEC Ex Certification Body for the IECEx 05 CoPC Scheme and return the completed voting form, separate word document, to the Secretariat (chris.agius@iecex.com) **by 25th April 2016**

Your speedy response to the voting process will be greatly appreciated.

Chris Agius

IECEx Secretariat

Address:
Level 33, Australia Square
264 George Street
Sydney NSW 2000
Australia

Contact Details:
Tel: +61 2 46 28 4690
Fax: +61 2 46 27 5285
e-mail: info@iecex.com
<http://www.iecex.com>

Body assessed	UL do Brasil	Date(s) of site Assessment	23 rd & 24 th November 2015
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ASSESSMENT REPORT

**BODY UNDER
ASSESSMENT:**

UL do Brasil

Avenida Engenheiro Luis Carlos Berrini, 105 – 24º Andar
Brooklin – CEP 04571-010,
Sao Paulo, SP Brasil

**SITE(S)
ASSESSED:**

Avenida Engenheiro Luis Carlos Berrini, 105 - 24º Andar
Brooklin – CEP 04571-010,
Sao Paulo, SP Brasil

IECEX ASSESSMENT TEAM: Mr Allan Ogden – IECEX Assessment Team Leader,
GB and Peer Assessor

REPRESENTATIVE/S OF BODY: Mr Eduardo G Galera – Engineering Leader - ExCB /
IECEX Personnel Competency Scheme Owner
Mr Edson Ribeiro – Staff Engineer–
Mr Francisco Seden – Quality Manager/CPO

DATE(S) OF SITE ASSESSMENT: 23rd & 24th November 2015
plus additional off-site document reviews

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IECEx 05 Certificate of Personal Competency Scheme

ASSESSMENT REPORT of

NEW IECEx APPLICANT BODY ☒

EXISTING IECEx CERTIFICATION BODY ☐

(ExCB)

ASSESSMENT TYPE:	ATTACHMENTS	No. of Pages
Application:		
Surveillance:		
Re-Assessment:		
Other:		
Assessment duration:	2 day on site plus pre and post off-site assessments	
RECOMMENDATION BY IECEx ASSESSOR(S) (Select one item only)	<input checked="" type="checkbox"/> That Acceptance be granted <input type="checkbox"/> That Acceptance be withheld/suspended <input type="checkbox"/> That Acceptance continues <input type="checkbox"/> That Acceptance be granted/continued conditional on Non Compliance/Matters raised, having agreed corrective action and time scales to rectify the System within and agreed time agreed by the Assessors	

UL do Brasil SCOPE ASSESSED

UL do Brasil have been assessed according to the requirements of IECEx05 Ed 3.0 – Certification of Personnel Competencies [CoPC] for the following Units of Competence:

Unit Ex 000 – Basic knowledge and awareness to enter a site that includes a classified hazardous area.

Unit Ex 001 – Apply basic principles of protection in explosive atmospheres

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SECTION 1. GENERAL INFORMATION

1.1 Name of Body:

UL do Brasil
Avenida Engenheiro Luis Carlos Berrini, 105 – 24º Andar
Brooklin – CEP 04571-010,
Sao Paulo, SP Brasil

1.2 CURRENT IECEx PARTICIPATION:

UL do Brasil is an applicant ExCB for the IECEx Scheme:
IECEx Certified Equipment Scheme (IECEx 02)

1.3 DETAILS OF ASSESSOR:

Mr Allan Ogden – IECEx Assessment Team Leader, GB

1.4 DATES OF ASSESSMENT:

On-site assessment conducted on 23rd & 24th November 2015 plus off site assessments both prior and following the on-site assessment.

1.5 UL do Brasil PERSONNEL AT OPENING & CLOSING MEETINGS:

Mr Eduardo G Galera
Mr Gustavo Castrillo
Mr Guilherme Soba- Conformity Specialist
Mr Edson Ribeiro – Staff Engineer
Mr Roberto Singer- Engineer
Mr Francisco Seden - QA Manager/CPO
Mr Anderson Moreira Engineer

1.6 LOCATION OF ASSESSMENT:

The UL do Brasil location as stated in 1.1

1.7 UL do Brasil RESOURCES FOR IECEx 05 CERTIFICATION ACTIVITIES:

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The Assessment team have assessed and verified the availability of competent technical staff, support staff and facilities to undertake the scope of IECEx 05 certification activities as.

Unit 000:- Basic knowledge and awareness to enter a site that includes a classified hazardous area

Unit 001 Apply basic principles of protection in explosive atmospheres

1.8 **RULES AND OPERATIONAL DOCUMENTS USED FOR THIS ASSESSMENT:**

This assessment has used the following reference documents:

ISO/IEC 17024:2012

IECEX 05 Ed 3.0

OD 502 Ed 2.0

OD 503 Ed 3.1

OD 504 Ed 3.0.

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SECTION 2. ASSESSMENT - SUMMARY OF RESULTS

IECEX CoPC SCHEME REQUIREMENTS			Findings	COMMENTS AND REFERENCE TO ATTACHMENTS
IECEX 05 requirements	Confirmation of Scope of IECEX Acceptance or scope of application, (for scope extension)		COMPLIES	The UL do Brasil Scope refers directly to the Scope of IECEX05 and has embraced all 4 of the Operational Documents
	Confirmation that details in original application are still current (for new application)		COMPLIES	The details of the original application were confirmed at the opening meeting.
	Confirm currency and scope of accreditation (ISO/IEC 17024) applicable		COMPLIES	UL do Brasil does not have accreditation to ISO/IEC 17024. Therefore this IECEX assessment includes assessment to ISO/IEC 17024. The subsequent assessment has verified compliance. This compliance is verified following assessment of UL LLC. as the application for UL do Brasil depends entirely on compliance of UL LLC Systems.
	Clause 9.1	(a) in a participating country	COMPLIES	Brasil. is a participating country in the IECEX System
		(b) operate recognized certification scheme	COMPLIES	UL do Brasil already participate in the IECEX Equipment Certification Scheme as an Applicant Ex CB through UL LLC and UL Demko
		(c) competence demonstrated by assessment	COMPLIES	IECEX Assessment included technical reviews of UL do Brasil staff for competence to evaluate to OD 504 relevant to the Units of Competence Ex000 & Ex001* *see Conclusion of the Assessment and Recommendations of the Assessment Team on page 11 for additional information
Body assessed	UL do Brasil		Date(s) of site Assessment	23 rd & 24 th November 2015

IECEx CoPC SCHEME REQUIREMENTS		Findings	COMMENTS AND REFERENCE TO ATTACHMENTS
	Assessment facilities considered by Assessment team to be appropriate and adequate for assessment of Units Ex000 & Ex001, according to OD 504	COMPLIES	<p>The UL do Brasil Competence Procedures define the requirements for the knowledge skills assessment and examination including the procedures for conducting assessment and examinations.</p> <p>These were assessed by the assessment team and found to be satisfactory. See summary of results for OD504 for further detail.</p> <p>The procedures reviewed are identical to those of UL LLC except for the quotation procedure, this does not affect the process of Assessment and are therefore considered to comply with the requirements</p>
	<p>Confirmation of which location is the official ExCB location, where more than 1 location is identified?</p> <p>an official ExCB location is one where the following are conducted:</p> <ul style="list-style-type: none"> - applications received, - contract review (review of application) - assignment of application to ExCB staff - review of exam/assessments - decision to issue Certificate <p>(Contact IECEx Secretary for any questions)</p>	CONFIRMED	<p>UL do Brasil</p> <p>Avenida Engenheiro Luis Carlos Berrini, 105 – 24º Andar Brooklin – CEP 04571-010, Sao Paulo, SP Brasil</p>
ISO/IEC 17024 Assessment–Satisfactorily Completed (for bodies without acceptable national Accreditation)		COMPLIES	<p>The assessment team confirms that the UL do Brasil Quality Manual and associated Procedures, forms and Instructions comply with all aspects of ISO/IEC 17024 and IECEx requirements and these procedures are identical too and controlled by UL LLC</p>

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IECEX Operational Document Requirements	Findings	COMMENTS AND REFERENCE TO ATTACHMENTS
OD 502	COMPLIES	Policies and procedures which apply to UL LLC and UL do Brasil did not reflect the latest version and other minor corrections required. The amended procedures for both UL LLC and UL do Brasil have been submitted and the re-assessment has been completed and verified as meeting all the requirements given in OD502
OD 503	COMPLIES	At the initial site assessment, a number of issues were identified with the policies and procedures that required correction. in to the assessment of UL LLC these corrections applied equally to UL do Brasil The requirements for questions for each Unit were found to be incomplete and not fully mapped to the outcome criteria of OD504 (see comment to OD504). Procedures have since been finalized and documented. And are considered acceptable for UL do Brasil This has been completed and verified. With the addition of these changes compliance with OD503 and OD 504 has now been verified.
OD 504 (Review of ExCB assessment criteria including question bank, mapped against Competency Units of OD 504)	COMPLIES	At initial assessment the mapping of questions to meet outcomes of OD504 was incomplete and did not demonstrate adequacy to meet minimum requirements as given in OD503. The 'language' of the questions for Unit Ex000 was considered too technical and to be simplified. Revised questions together with mapping has been provided and verified as acceptable.

Additional Remarks concerning requirements (if any)

It should be noted that UL do Brasil operate under the same procedures as those of UL LLC in the USA with UL LLC having control of changes to the procedures. The above applies with the exception to procedures 41-SA-S0025 and 41-SA-F0853 which are specific to UL do Brasil.

Therefore, the site assessment of UL do Brasil was conducted only after having established compliance of the UL LLC procedures during the IECEX 05 Assessment conducted on 20 + 21 October 2015, being approximately 1 month prior to this site assessment of UL do Brasil, with Mr Ogden as Assessor on both Teams for UL LLC and UL do Brasil.

During the site assessment technical interviews were conducted with the proposed assessors appointed by UL do Brasil. Given the review of the CVs and based on the technical interviews undertaken the assessors

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were found to be suitable for the UL do Brasil scope This was considered to also confirm the UL do Brasil assessor appointment processes included within the Policies and Procedures.

Eduardo Galera accepted as the examiner for Units Ex000 and Unit Ex001.

Edson Ribeiro accepted as an examiner for Units Ex000 and Units Ex001.

Roberto Singer accepted as an examiner for Unit Ex000 and Unit Ex001.

Gustavo Castrillo accepted as an examiner for Unit Ex000 and Unit Ex001.

Anderson Moreira accepted as an examiner for Unit Ex000 and Unit Ex001.

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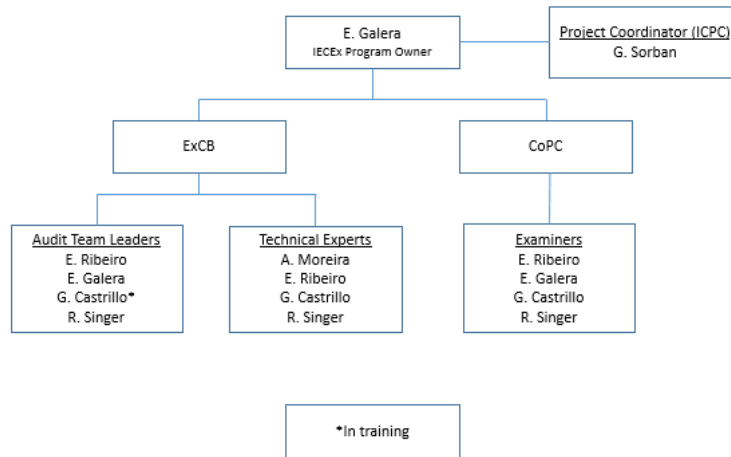
Organization Chart .

Organization Chart of the UL do Brasil CoPC



UL do Brasil Hazardous Locations IECEx System Organizational Chart ExCB and CoPC

Issue #: 0
Date: 2015-11-13
Approved: E. Galera
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<http://intranet.ul.com/bu/ps/EPT-INMETRO/SitePages/Home.aspx>



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Conclusion of the Assessment and Recommendations of the Assessment Team

The purpose of the site assessment was to verify compliance with the requirements of the IECEx Scheme for the scope extension and on-going acceptance of an Ex Certification Body (ExCB). The site assessment forms part of the overall evaluation of the body by the IECEx Management Committee, ExMC and was conducted in accordance with the IECEx Scheme Assessment Procedures, IECEx OD 501. In addition a re-assessment was conducted to verify that the selection of assessors, the data bank of questions being used and the suitability of examination requirements is in accordance with the requirements of IECEx05 together with OD502, OD503 & OD504. Report of the assessment team is as follows:

At the site meeting it was confirmed that UL do Brasil scope of the application is for Units Ex000 and Ex001. The Assessment Team findings indicate UL do Brasil has Policies, Procedures and Operational requirements in place that verify compliance with ISO/IEC 17024 based on the documents reviewed and the remaining IECEx CoPC Scheme Rules and Operational Documents. These procedures are identical to those operated by UL LLC. As UL do Brasil has not been operating a Recognized Certification of Personnel Competency Scheme at a National level with ISO/IEC 17024 accreditation then this is to be included in future IECEx05 CoPC Scheme assessments until such time as National Accreditation is obtained. It is confirmed that all the documented policies and procedures are applicable for UL do Brasil with limited exceptions as detailed above.

The Policies and Procedures apply a very clear requirement for the separation of any assessors not to have been involved with any form of training with the candidate being assessed. The assessment team is satisfied this provides an adequate separation of the assessment process from training.

UL do Brasil procedures include the facility for conducting knowledge assessments electronically. These knowledge assessments will be prepared and conducted under the control of UL LLC. The assessment team is satisfied that the integrity of the examinations will be maintained.

At this stage UL do Brasil are not yet offering Certification to the remaining Units of Competence and will require an additional assessment if the scope is to be extended.

The Assessment Team recommend UL do Brasil be accepted as a CoPC ExCB within the IECEx System.

Allan Ogden
IECEx Assessment Team Leader
7 March 2016

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SECTION 3

Issues Raised by IECEx Assessment Team and Subsequent Responses/Actions

The following shows key issues that were raised at the site assessment/re-assessment and are included here with the resolutions, together with subsequent actions.

ISSUES RAISED AT RE- ASSESSMENT	RESPONSE FROM QPS	ASSESSMENT TEAM COMMENT
National Accreditation for ISO/IEC 17024 not available	Scheme Application altered to include ISO/IEC 17024 in IECEx assessment	Assessment Team has included the requirements of ISO/IEC 17024 in this assessment. The changes to the document has been agreed by UL LLC and UL do Brasil All aspects have been corrected and reviewed and found to comply. Resolved. No further action required.
In the review of all the policies and procedures a number of corrections both of an editorial and technical nature were identified. These changes affected both UL LLC and UL do Brasil	UL do Brasil through UL LLC are to correct the documentation as agreed at the site meetings. These documents to be re-submitted within a 2 months period from date of audit to coincide with the requirements of UL LLC	The amended documents have been provided and assessed. Resolved. No further action required.
The Question Bank was reviewed in reference to the Unit of Knowledge Ex000 and Competence Unit Ex001. The initial overview indicates that there are sufficient numbers of questions presented to meet the requirements of the above units however the questions have been set such that with regards to Unit 000 the target audience for the assessments has not been understood and the language use is considered to be to technically based and should be reviewed	UL do Brasil together with UL LLC have agreed to review and resubmit	The questions have been reviewed and found acceptable to the assessment team. Resolved. No further action required.