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

**Title: Scope Assessment report for** **UL LLC, USA, to include Units Ex 004 and Ex 006, in their scope 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 an assessment of UL LLC, USA, for a scope extension, as an IECEx Certification Body (ExCB) operating in the IECEx 05 CoPC Scheme, to include the following units in their scope -

Unit Ex 004 – Maintain equipment in explosive atmospheres

Unit Ex 006 – Test electrical installations in or associated with explosive atmospheres

***Chris Agius***

**IECEx Secretariat**

***This document is hereby submitted for ExMC approval via correspondence using the IECEx on-line voting system. ExMC Members are requested to submit their vote via the IECEx On-line Ballot System by the closing date 2020 04 10***

***Please refer to OD 050 for guidance on the “IECEx On-line voting system.”***

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|  | **RE-ASSESSMENT REPORT** |
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| **BODY UNDER ASSESSMENT:** | **UL LLC****333 Pfingsten RoadNorthbrook IL 60062-2096****United States** |
| **SITE(S)****ASSESSED:** | **OCS Group 15330 Park Row BLvd Houston, TX 77084United States** |

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| **IECEx SITE ASSESSMENT TEAM:** | **Thierry Houeix – Lead Assessor (FR – INERIS)** |
| **REPRESENTATIVE/S OF BODY:** | **Erin LaRocco**  |
| **DATE(S) OF SITE ASSESSMENT:**  | **December 2019**  |
| **SCOPE:** | **Units Ex000, Ex001, Ex003, Ex004, Ex006, Ex 007 and Ex008** **The units concerned by this extension are: Ex004 and Ex006** |

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| **X** | Unit Ex 000 – Basic Knowledge |
| **X** | Unit Ex 001 – Apply basic principles of protection in explosive atmospheres |
|  | Unit Ex 002 – Perform classification of hazardous areas |
| **X** | Unit Ex 003 – Install explosion-protected equipment and wiring systems |
| **X** | Unit Ex 004 – Maintain equipment in explosive atmospheres |
|  | Unit Ex 005 – Overhaul and repair of explosion-protected equipment |
| **X** | Unit Ex 006 – Test electrical installations in or associated with explosive atmospheres |
| **X** | Unit Ex 007 – Perform visual and close inspection of electrical installations in or associated with explosive atmospheres |
| **X** | Unit Ex 008 – Perform detailed inspection of electrical installations in or associated with explosive atmospheres |
|  | Unit Ex 009 – Design electrical installations in or associated with explosive atmospheres |
|  | Unit Ex 010 – Perform audit inspection of electrical installations in or associated with explosive atmospheres |

**IECEx 05 Certificate of Personal Competency Scheme**

**ASSESSMENT REPORT of**

**NEW IECEx APPLICANT BODY EXISTING IECEx CERTIFICATION BODY**

**X**

**(ExCB)**

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| **ASSESSMENT TYPE:** | **ATTACHMENTS** | **No. of Pages** |
| Application:  | UL LLC – UL is already accepted as an ExCB for IECEx 05 scheme and Units Ex000, Ex001, Ex003, Ex 007, and Ex008.Extension for Units Ex004 and Ex006 have been requested. |  |
| Surveillance:  |  |  |
| Re-Assessment:  |  |  |
| Other: |  |  |
| Assessment duration:  | Off-site assessment on December 2019. |  |
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| **RECOMMENDATION BY IECEx ASSESSOR(S)**(Select one item only) | 🗹 That Acceptance be granted🞎 That Acceptance be withheld/suspended🞎 That Acceptance continues🞎 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 |

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# GENERAL INFORMATION

## NAME OF BODY:

UL LLC
333 Pfingsten Road
Northbrook IL 60062-2096United States

## CURRENT IECEx PARTICIPATION:

UL LLC is an existing ExCB and ExTL in IECEx System, Equipment Scheme 02.

UL LLC is an existing ExCB in the IECEx System, Certification of Personnel Competencies [CoPC] 05

## DETAILS OF ASSESSMENT TEAM:

Thierry Houeix – Lead Assessor

## DATES OF ASSESSMENT:

UL LLC is accepted as an ExCB for the IECEX 05 Scheme for Ex000, Ex001, Ex003, Ex 007, and Ex008. During the last scope extension assessment visit, conducted in June 2018, for Units Ex 003, Ex 007 and Ex 008, the opportunity was also taken to assess facilities and capabilities for Units Ex004 and Ex006. However, the assessment for Units Ex 004 and Ex 006 could not be completed at that time. At that time, it was decided to postpone the extension for the Units Ex004 and Ex006 and it was decided to check the remaining items by doing an off-site assessment. This off-site assessment was conducted during December 2019 and involved the following matters with all items now being closed.

The main review for this extension was the verification of the Assessment panels, the documentation which has to be used by the candidate and examination paper.

## LOCATION OF ASSESSMENT:

The on-site assessment conducted on 11/12 June 2018 was held on the OCS Group facilities in Houston, Texas.

The off-site assessment was performed in December 2019 by correspondence.

## RESOURCES FOR IECEx 05 CERTIFICATION ACTIVITIES:

The Assessment team have assessed and verified the availability of competent technical staff, support staff and facilities to undertake the scope extension of IECEx 05 certification activities to include Units Ex 004 and Ex 006.At the conclusion of the site assessment there were issues raised requiring attention by UL LLC. These issues have been included in the confidential report submitted and reviewed by the IECEx Secretariat. Follow up actions by UL LLC to address these issues were reviewed by the Assessor with the Assessor finding all actions satisfactory to enable all items raised to be closed and to recommend both on-going acceptance and acceptance of the scope extension.

# ASSESSMENT - SUMMARY OF RESULTS

| **IECEx CoPC SCHEME REQUIREMENTS** | **Findings** | **COMMENTS AND REFERENCE TO ATTACHMENTS** |
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| **IECEx 05 requirements** | Confirmation of Scope of IECEx Acceptance or scope of application, (for new applicant) | COMPLIES | UL LLC cross refers to the Scope of IECEx05 and has embraced all competencies as given in OD504 associated with Units Ex000, Ex001, Ex003, Ex004, Ex006, Ex 007 and Ex008  |
| Confirmation that details in original application are still current (for new application) | COMPLIES | The details of the application were discussed and confirm as correct.. |
| Confirm currency and scope of accreditation (ISO/IEC 17024) applicable | COMPLIES | UL LLC has no accreditation regarding ISO/IEC 17024. Therefore surveillance assessments are conducted by IECEx. |
| Clause 9.1 | (a) in a participating country | COMPLIES | United States is a participating country in the IECEx System |
| (b) operate recognized certification scheme | COMPLIES | UL LLC is also a Certification Body in United States regarding Ex Equipment Certification  |
| (c) competence demonstrated by assessment | COMPLIES | IECEx Assessment included technical interviews and examination of UL LLC staff for competence to evaluate to OD 504 for Units Ex000, Ex001, Ex003, Ex004, Ex006, Ex 007 and Ex008 . |
| (d) suitable and sufficient questions for each Unit of Competence | COMPLIES | UL LLC has enough questions for each Ex unit as given in OD 503 for Ex 004, and Ex 006 |
| Assessment facilities considered by Assessment team to be appropriate and adequate for assessment of Units, according to OD 504? | COMPLIES | UL LLC and OCS have assessments facilities and enough panel to perform assessment for the candidates they have and for the units requiring practical assessments |
| Confirmation of which location is the official ExCB location, where more than 1 location is identified?an official ExCB location is one where the following are conducted:* applications received,
* contract review (review of application)
* assignment of application to ExCB staff
* review of exam/assessments
* decision to issue Certificate

(Contact IECEx Secretary for any questions) | COMPLIES | UL LLC at 333 Pfingsten RoadNorthbrook IL 60062-2096, is confirmed as the official ExCB location.But the theoretical examination can be performed anywhere UL LLC evaluator can go.The practical examination can only be performed where UL LLC have their practical assessment panels. Today it is at: OCS, Houston, Texas |
| **ISO/IEC 17024 Assessment**–Satisfactorily Completed (for bodies without acceptable national Accreditation) | COMPLIES | UL LLC do not have accreditation regarding ISO/IEC 17024. Policies & Procedures, forms and Instructions previously assessed, and including the changes for this scope extension assessment, comply with all aspects of ISO/IEC 17024 and IECEx requirements. |

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| **IECEx Operational Document****Requirements** | **OD 502** | COMPLIES |  |
| **OD 503** | COMPLIES |  |
| **OD 504**(Review of ExCB assessment criteria including question bank, mapped against Competency Units of OD 504)  | COMPLIES |  |

**Additional Remarks concerning requirements** (if any)

**No additional remarks to those included in this report**

## Conclusion of Site Assessment

The purpose of the site assessment was to verify compliance with the requirements of the IECEx Scheme for the initial 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.

Report of the off-site assessment team is as follows:

1. The picture of Ex 004 panel originally provided for the review was not in accordance with the Assessment drawing which is intended to be given to the candidate. This was of course corrected.
2. The review of the Assessment paper was performed, and it was stated that they meet the examination requested by OD 503 and OD504.
3. It was stated that there is no difference in the practical examination of Units Ex004 and Ex 006 for the operative and the responsible person.

## Target date for resolution of issues

All items raised have now been resolved and closed.

## Actions after assessment

With all items raised now closed, No further visit is required

## Recommendation by IECEx Assessor(s) after all issues resolved

It is recommended for UL LLC to continue as ExCB regarding IECEx 05 and to add the extensions of 2 Ex units Ex004 and Ex006 in order to have the Units Ex000, Ex001, Ex003, Ex004, Ex006, Ex 007 and Ex008 in their scope.

Thierry Houeix
IECEx Lead Assessor

2020-02-25