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

**Title: Report for a scope extension request from UL LLC, US, to conduct IECEx 05 CoPC assessment at PCEC facilities in China under the control and management of UL LLC.**

**Introduction**

This Document provides a report from the IECEx Assessor, regarding a scope extension request from UL LLC, US, to conduct IECEx 05 CoPC assessment at PCEC facilities in China under the control and management of UL LLC.

***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 10 30***

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

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|  | **ASSESSMENT REPORT** |
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| **BODY UNDER ASSESSMENT:** | **UL LLC****333 Pfingsten RoadNorthbrook IL 60062-2096****United States** |
| **SITE(S)****ASSESSED:** | **PCEC No. 85, No. 3 RoadHongqiao DistrictTianjin 300131PEOPLES REPUBLIC OF CHINA** |

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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:**  | **July 2020**  |
| **SCOPE:** | **Units Ex000, Ex001, Ex003, Ex 007 and Ex008**  |

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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 |
|  | Unit Ex 004 – Maintain equipment in explosive atmospheres |
|  | Unit Ex 005 – Overhaul and repair of explosion-protected equipment |
|  | 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)**

Top of Form

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| **ASSESSMENT TYPE:** | **ATTACHMENTS** | **No. of Pages** |
| Application:  | Application Form - UL LLC – UL is already accepted as ExCB for IECEx 05 scheme and Units Ex000, Ex001, Ex003, Ex004 Ex006, Ex 007, and Ex008.Extension to perform the theoretical and practical evaluations have been requested. |  |
| Surveillance:  |  |  |
| Re-Assessment:  |  |  |
| Other: |  |  |
| Assessment duration:  | Off-site assessment on July 2020 |  |
|  |  |  |
| **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 |

Bottom of Form

# GENERAL INFORMATION

## NAME OF BODY:

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

## CURRENT IECEx PARTICIPATION:

UL LLC is an existing ExCB and ExTL for the following IECEx Schemes:

* IECEx Certified Equipment Scheme (IECEx 02)
* IECEx Certified Services Scheme (IECEx 03)
* IECEx Conformity Mark System (IECEx 04)
* IECEx Scheme for Certification of Personnel Competencies (IECEx 05)

## DETAILS OF ASSESSMENT TEAM:

Thierry Houeix – Lead Assessor

## DATES OF ASSESSMENT:

The on-site assessment visit was conducted on 11/12 June 2018 for the evaluation against the Units Ex000, Ex001, Ex003, Ex 007, and Ex008 in US.

The extension is regarding the assessment of the same Ex units, but the theoretical and practical evaluation will be in China at PCEC facilities.

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

## LOCATION OF ASSESSMENT:

The off-site assessment was conducted on 08 July 2020 using videochat with US team being at UL LLC in Northbrook, United States and the Chinese teams at PCEC facilities in Tianjin, Peoples Republic of China.

## 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 full scope of IECEx 05 certification activities for Units Ex000, Ex001, Ex003, Ex 007 and Ex008 . 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 Secretariat. Follow up actions by UL LLC to address these issues was 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** |
| --- | --- | --- |
| **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, 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, Ex 007 and Ex008 . |
| (d) suitable and sufficient questions for each Unit of Competence | COMPLIES | UL LLC has enough questions for each Ex unit |
| Assessment facilities considered by Assessment team to be appropriate and adequate for assessment of Units, according to OD 504? | COMPLIES | UL LLC and PCEC 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 PCEC facilities in Tianjin, Peoples Republic of China |
| **ISO/IEC 17024 Assessment**–Satisfactorily Completed (for bodies without acceptable national Accreditation) | COMPLIES | UL LLC have no accreditation regarding ISO/IEC 17024. Therefore IECEx assessments include assessments to ISO/IEC 17024 |
| **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)

None

# Conclusion of Off-site Assessment

The purpose of the off-site assessment was to verify compliance with the requirements of the IECEx Scheme for the continuing acceptance of UL LLC as Ex Certification Body (ExCB).

The site assessment forms is 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.

The main issues of the off-site assessment were regarding:

1. Validation of the scope of competence of some evaluator.
2. Change of some Assessment paper in order to specify clearly that it is for assessment
3. Change of some Area specified in the Assessment panel in order to not disturb the candidate

## Target date for resolution of issues

All items raised are now resolved and closed.

## Actions after visit

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

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

Based on the assessment performed on July 2020, UL LLC is recommended to continue as ExCB regarding IECEx 05 and allow to perform the evaluation at PCEC facilities.

Thierry Houeix
IECEx Lead Assessor

2020-09-14