

PR.EX.02 Evaluation of The Application and Contract Procedure

A) DOCUMENT APPROVALS

No	Definition	Action	Created By	Date
1	Document approved	Approval	Nurgül Çınar	28.04.2023

B) REVISION HISTORY

No	Definition	Reason	Approval Date	Release Date
1	The information that IECEx records are stored on the shared drive has been added to article 8.3. Article 8.1 referred to OD 203.	NCR9 and NCR10 in IECEx audit report.	28.04.2023	28.04.2023
0	Pricing have been entered into the price policy.	Lack of pricing	17.03.2023	17.03.2023

5.Purpose and Scope

The aim of this procedure is define application, application review and contracting processes in addition to pricing policy, according to IECEx Equipment Certification Scheme for the following activities,

- IECEx Certificate of Conformity (CoC)
- IECEx Test Report (ExTR)
- IECEx Quality Assessment Report (QAR)

6.Definitions

Proposal: The document defines all the conditions and prices related to conformity assesment and certification services and become a contract when it is approved by both of SZUTEST and the applicant.

Application Fee: Price for application review and preparations done before the evaluation stage starts.

Audit Fee: Price for total man/day cost which is spent for ExTR review and QAR audit.

Surveillance Audit Fee: Price for total man/day cost which is spent for annual QAR audits.

Company: Legal entity applied for certification.

Manufacturer: It is a natural or legal person who manufactures equipment or protective equipment used in explosive atmospheres, or owns designed or manufactured exproof equipment or equipment, and markets or uses exproof equipment or equipment under its own name or trademark.

Technical Manager: The person responsible for the management of the activities related to the conformity assessment process.

ExTL: A testing laboratory which performs tests and assessments and compiles IECEx test reports for endorsement by the associated ExCB.

ExTR: A document issued by an ExTL that includes a documented record of the obtained test and assessment results for endorsement by an ExCB, associated with the issuing ExTL, demonstrating that the examined product type is in conformity with specified Standards.

QAR: A document that presents the results of an assessment of the quality management system (QMS) of a manufacturer or manufacturing location by an ExCB, to the requirements of the IECEx Certified Equipment Scheme.

CoC: Document issued under PR.EX.04 Procedures for the issuing of IECEx Certificates of Conformity (ExCoC) that conveys the assurance of the conformity of a product with the specified standard or standards.

ExCB: A body which has been accepted according to these Rules and which issues IECEx Certificates of Conformity, IECEx Quality Assessment Reports and also endorses IECEx Test Reports.

7.Responsibilities

The Technical Manager is responsible for the implementation of this procedure.

The Planning Coordinator is responsible for the preparation of the offer / contract, sending it to the candidate customer, tracking it and finalizing it.

The Technical Manager is responsible for receiving applications, evaluating them, approving contracts.

8.Method

8.1. Application and Application Evaluation

SZUTEST accepts applications by all the communication channels. Applications can be made by a face to face meeting, phone call, email, fax or through www.szutest.com.tr website but each kind of application should be completed by a written and approved application form. FR.EX.01 Application Form should be filled by the manufacturer and be evaluated by the Technical Manager.

In this application review, technical manager should check the following,

- If the application form filled properly and signed by the applicant,
- All the required information are stated in the application form,
- Evaluation of the standards and related documents,
- Evaluation SZUTEST's availability in sense of work load and capabilities (including subcontracting laboratories),
- Evaluation of conformity according to IECEx Equipment Certification Scheme rules,
- If the scope of the application is covered by SZUTEST's IECEx authorization,
- The application should be within the scope of the ExCB and the acceptance of the relevant ExTL.
- It should be checked whether the manufacturer has an established quality management system,
- It should be checked whether a surcharge applies for manufacturers from nonmember countries,
- Estimation of costs and time to complete the Project,
- Determination of any special requirements, eg travel for site audit, etc.,
- Agreement on the method and system of payment by the applicant, in accordance with ExCB's own policy and quality system.

Application evaluation shall be recorded by Technical Manager on FR.EX.01 Application Form. The results of the application review shall be maintained.

If application evaluation resulted positively, FR.EX.02 IECEx Certification Sevice Aggrement should be prepared and send to the applicant.

If application evaluation resulted negatively, it should be stated to the applicant by written.

When an application is made by a company located in Republic of Belarus and Russia, an extra check should be done to confirm that company is not listed on OFFICE OF FOREIGN ASSETS CONTROL Specially Designated Nationals and Blocked Persons List. If the company is listed, application should be rejected.

The lists for Person, companies and etc.

<https://home.treasury.gov/policy-issues/financial-sanctions/specially-designated-nationals-and-blocked-persons-list-sdn-human-readable-lists>
The lists for countries and products
<https://www.sanctionsmap.eu/#/main>

In evaluating the applications, required considerations to accepted definitions of the term 'manufacturer' in relation to 'trade agents' and 'local assemblers' with reference to OD 203, are required to be taken. And in the implementation of the procedures PR.EX.04, PR.EX.05, PR.EX.06, PR.EX.07, PR.EX.08 and PR.EX.09 complying with the guidance of OD 203 latest edition towards 'trade agents' and 'local assemblers' is mandatory.

8.2. Preparing the Offer/Contract and Sending it to the Customer

ExTR should be requested from manufacturer after signing the contract (FR.EX.02 IECEX Certification Service Agreement).

For ExTR applications, shall be reviewed according to PR.EX.05 Procedures for the issuing of an IECEX Test and Assessment Report (ExTR).

During the application, it is questioned whether the manufacturer has a test report (ExTR) made in accordance with the standards. If not, this deficiency is reported to the manufacturer in writing, and if the customer requests, the FR.EX.08 Appointment of Ex Testing Laboratory Form is prepared with the contract.

After the conformity assessment process begins, the changes that may be required in the contract are applied in agreement with the customer. IECEX Certificate of Conformity (CoC) scopes for the prices to be given in the contract are based on the price policy in Article 8.4. Offers must contain at least the following information;

- Commercial information of the candidate customer (title, authorized person name, address, phone numbers, tax office and tax number, e-mail address)
- Commercial and contact information of SZUTEST,
- Relevant standard / regulation name,
- Conformity assessment scope,
- SZUTEST's obligations
- Obligations of the prospective customer,
- Preliminary preparations to be done by the customer before the inspection
- Fees,
- Offer validity period,
- Confidentiality commitment

Once the proposal prepared by the Technical Manager is approved by the candidate customer, the offer becomes a contract.

8.3 Opening Project

After the proposal approved by the customer becomes a contract, the job file is opened by the Technical Manager. **The job file is opened in the IECEX folder on the shared drive and soft copy IECEX records are stored there.** The job file consists of a sequence number given consecutively according to the publication date of the document, regardless of years. All relevant documents are placed in the created job file. The company name, the name and model of the documented product, the scope of the directive and certificate and the file number are written on the file and the tracking is provided.

Following the opening of the project, the following official documents are requested from the customer according to the scope to be certified.

- Copy of Trade Registry Gazette (if not available, copy of Chamber Activity Certificate)
- Tax plate
- Signature circus
- ExTR

8.4. Price Policy

EXPLANATION	PRICING
IECEX Application Fee	According to OD 019
ExTL Fee	According to the Ex TL announcement
ExTR Endorsement Fee	1000-2000 Euros Depending on the number of protections
QAR	Initial certification: 2000-3000 Euros (1-5 ExTR) 3000-3500 Euros (5-10 ExTR) Surveillance audits every year: Each Surveillance would be 80% of the initial

	certification cost
Certification Fee (CoC)	(QAR + ExTR Endorsement Fee) for each specific Project
Note 1: These fees do not include auditor transportation accommodation etc. fees.	
Note 2: The required amount of advance payment is received for certification applications.	
Note 3: Remuneration is reassessed according to the inflation rate of that year.	
Note 4: The certificate issue fee that needs to be paid to IECEX shall be declared to the client or the related OD019 shall be attached to the contract.	
Note 5: Euro offers are converted into TL at the contract stage based on the current central bank sales rate in the day.	