



INTERNATIONAL  
ELECTROTECHNICAL  
COMMISSION



# IECEX

## On-Line Certificate System

### Document Review

September 2013



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# Review of IECEx Online System in 2012

A review of IECEx Certificates of Conformity On-line system was conducted by the IEC Secretariat over February 2013 via a **random sampling of 10%** of all certificates originally issued or updated in 2012 in the IECEx Certified Equipment, IECEx Certified Service Facility and IECEx Certified Person schemes.



## IECEx On-Line Certificate System Review

### **Objective**

The objective of the review was to check, by sampling, that the information on IECEx Certificates is correct and complete as required by IECEx Rules and Operational Documents – *thereby maintaining the credibility of IECEx*

The results of the review are now being used to plan and guide:

1. feedback to ExCBs on areas needing attention
2. further On-line System improvements
3. the improvement of IECEx Operational Documents, particularly the OD 011 Series
4. training for ExCB personnel



### **Review Criteria**

1. Requirements of IECEx Rules of Procedure and IECEx Operational Documents (ODs)
2. Instructions in On-line Certificate 'templates'
3. 'deficiencies' and common errors observed over the life of the Schemes



### 10% Sample Review Results

Of the **288** IECEx **Equipment** CoCs reviewed ...

- Certificates with zero issues = **245**
- Certificates with at least one issue = **43**
- Certificates with multiple issues = **8**

Of the **10** IECEx **Service Facility** CoCs reviewed...

- NO issues observed

Of the **8** IECEx **Certified Person** CoCs reviewed ...

- NO issues observed

## Conclusions

The results of this review in 2013 show an improvement on the results of a similar review conducted in 2012 (see below) and identify a number of areas that require additional attention by ExCB.

IECEx Equipment Certificates of **2011** audited = **246** (vs 288)

- Certificates with zero issues = 163
- Certificates with at least one issue = **83** (vs 43)
- Certificates with multiple issues = **14** (vs 8)



# IECEX On-Line Certificate System Review

## Details (extracted from ExMC/859/R)

Previously observed Certificate Deficiency as Review Criteria For 288 Certified Equipment Certificates reviewed.	# of CoCs with Deficiency
Date of issue NOT appropriate (i.e. showing in the future)	0
A Test Report number or File Reference NOT included	0
Manufacturer name detail NOT consistent with their other certificates	1
Full Manufacturer's site street address NOT provided (eg. a PO Box used)	1
Attached Annex(es) do NOT reference the CoC number	2
Referenced Annexes are NOT attached	1
"Conditions of Certification" details NOT specified for "X" type Certificates	3
Equipment description is NOT clear and sufficiently detailed	0
Major editorial mistakes	1
CoC is NOT correctly linked to valid ExTR and/or QAR (main issue observed was linking of an issued CoC to a draft ExTR)	12
Linked QAR is NOT current	0
Manufacturer on CoC does NOT match ExTR details	4
Manufacturer on CoC does NOT match QAR details and/or QAR(s) does NOT cover all manufacturing locations listed on CoC	11
Standards listed on CoC do NOT match Standards (including Edition #) on ExTR (main issue observed was CoC citing later Edition than ExTR)	9
Scope of Certificate exceeds QAR and ExTR issuing ExCB's capability	2
Type of Protection Concept on CoC does NOT match standards and QAR	1
CoC Issues subsequent to Issue 0 are NOT linked and/or details of changes between Issues are NOT detailed on subsequent CoC	0
"Statement of Limitations" details NOT included in CoC for Component certificates ("U" type)	5
Unit Verification Certificates have NOT been denoted with "V" and/or do NOT include Serial #(s) for certified units of product	0



# IECEX On-Line Certificate System Review

## Details - *Issues needing attention*

Previously observed Certificate Deficiency as Review Criteria For 288 Certified Equipment Certificates reviewed.	# of CoCs with Deficiency
Date of issue NOT appropriate (i.e. showing in the future)	0
A Test Report number or File Reference NOT included	0
Manufacturer name detail NOT consistent with their other certificates	1
Full Manufacturer's site street address NOT provided (eg. a PO Box used)	1

“Conditions of Certification” details NOT specified for “X” type Certificates

CoC is NOT correctly linked to a valid ExTR and/or QAR (main issue observed was linking of an issue CoC to a draft ExTR)

Manufacturer on CoC does NOT match QAR details and/or QAR(s) does NOT cover all manufacturing locations listed on CoC

Standards listed on CoC do NOT match Standards (including Edition #) on ExTR (main issue observed was CoC citing later Edition than ExTR)

“Statement of Limitations” details NOT included in CoC for Component certificates (“U” type)

Unit verification certificates have NOT been denoted with “V” and/or do NOT include Serial #(s) for certified units of product	0
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### **Responses and progress to date:**

- This session today as:
  1. a report
  2. some training and feedback on areas needing attention
  3. an opportunity for YOU to provide FEEDBACK and SUGGESTIONS
- ‘Automatic assistance’ via IT solutions that provide:
  - restrictions on issuing CoCs if supporting documents still in ‘Draft’
  - improved ‘warning messages’ and ‘navigation paths’
- The ‘out of date QAR’ facility
- The ‘export to Excel’ facility
- Updates and enhancements of OD 011 series are underway

## Next steps

- A similar 'full review' using the same criteria will be repeated in future years and the results reported to the ExMC
- Each new issue of every Certificate is opened by the Secretariat and checked for 'common errors' when accounting for CoC Fees (as per OD 019)



## IECEX On-Line Certificate System Review

The IECEx Secretariat thanks all ExCBs for their prompt assistance and cooperation to date and for their understanding of the value of maintaining an accurate On-Line Certificate System to the levels expected by all users.



## IECEx On-Line Certificate System Review

# THANK YOU

Any questions?