

IECEE

CB-SCHEME

OD-CB2007-Ed.2.7

OPERATIONAL & RULING DOCUMENTS

DOCUMENTATION FOR APPLICATIONS

OD-CB2007-Ed.2.7

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IEC System for Conformity Testing and Certification of Electrotechnical Equipment and Components CB Scheme

INTRODUCTION

This Operational Document provides checklists of the material to be provided to the IECEE Secretariat, in electronic compatible format, when NCBs/CBTLs are seeking IECEE Membership, scope extension and further subjected to Re-assessments.

This Operational Document also provides, under Annex 1, the list of documents that shall be made available by the NCBs/CBTLs to the Assessment Team during the on-site assessment.

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Part 1

New candidate NCB and associated CBTL/ACTL(S)

Documentation to be provided prior to the assignment of the Assessment Team

1. Application in writing from the Member Body of the country where the NCB is located.	<input type="checkbox"/>
2. Application in writing from the candidate NCB	<input type="checkbox"/>
3. Application Form, Document OD-CB2010, for candidate NCBs	<input type="checkbox"/>
4. Application Form, Document OD-CB2011, for candidate CBTL/ACTLs	<input type="checkbox"/>
5. Declaration of Certification and Testing Experience, Annex 1B of OD-CB2004 & OD-CB2005 (Annex 1C for ACTLs)	<input type="checkbox"/>
6. List of Testing Equipment relevant to the scope for which the Recognition is sought OD-CB2024	<input type="checkbox"/>
7. Check List for NCBs OD-CB2016	<input type="checkbox"/>
8. Check List for CBTL/ACTLs OD-CB2017	<input type="checkbox"/>
9. Objective evidence that the candidate CBTL/ACTL <ul style="list-style-type: none"> - is an integral part, such as a department, division, branch or subsidiary of the relevant NCB, or - is under the complete technical and legal control of the relevant NCB, or - a written agreement clearly outlining the commitment, duty and responsibility of both the candidate CBTL and the relevant NCB to follow IECCE Rules. 	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
10. Organization Charts of the candidate NCB/CBTL/ACTL(s)	<input type="checkbox"/>
11. If the candidate NCB/CBTL/ACTL(s) are accredited, Accreditation Certificate(s) and related scope. If the candidate NCB/CBTL(s) are not accredited, complete and return Annex 2 of OD-CB2007.	<input type="checkbox"/>
12. When applicable, a list of National Differences for each standard, which will be requested by the responsible NCB when recognizing CB Test Certificates for the purpose of granting its Certification Mark	<input type="checkbox"/>
13. When applicable, a list of Regulatory requirements for each standard, which will be requested by the responsible NCB when recognizing CB Test Certificates for the purpose of granting its Certification Mark	<input type="checkbox"/>
14. OD-CB2004 and OD-CB2005 duly "pre-filled in" to the best extent possible	<input type="checkbox"/>
<p><i>Note: It is the Role of the Lead Assessor to complete the Assessment Report(s) however, for the sake of efficiency and to save time, it is desirable that the assessed NCB/CBTL/ACTL pre-completes these ODs with as much information as possible by using the same (or compatible) virus free software</i></p>	



Part 2

New candidate NCB only

Documentation to be provided prior to the assignment of the Assessment Team

1. Application in writing from the Member Body of the country where the NCB is located.	<input type="checkbox"/>
2. Application in writing from the candidate NCB	<input type="checkbox"/>
3. Application Form, Document OD-CB2010, for candidate NCBs	<input type="checkbox"/>
4. Declaration of Certification Experience, Annex 1B of OD-CB2004	<input type="checkbox"/>
5. Check List for NCBs applying for the first time, OD-CB2016	<input type="checkbox"/>
6. If the candidate NCB is accredited, Accreditation Certificate(s) and related scope. If the candidate NCB is not accredited, complete and return Annex 2 of OD-CB2007.	<input type="checkbox"/>
7. Organization Charts of the candidate NCB	<input type="checkbox"/>
8. When applicable, a list of National Differences for each standard, which will be requested by the responsible NCB when recognizing CB Test Certificates for the purpose of granting its Certification Mark	<input type="checkbox"/>
9. When applicable, a list of Regulatory requirements for each standard, which will be requested by the responsible NCB when recognizing CB Test Certificates for the purpose of granting its Certification Mark	<input type="checkbox"/>
10. OD-CB2004 duly "pre-filled in" to the best extent possible.	<input type="checkbox"/>
<p><i>Note: It is the Role of the Lead Assessor to complete the Assessment Report(s) however, for the sake of efficiency and to save time, it is desirable that the assessed NCB pre-completes these ODs with as much information as possible by using the same (or compatible) virus free software.</i></p>	



Part 3

New candidate CBTL/ACTL only

Documentation to be provided prior to the assignment of the Assessment Team

1. Application in writing from the Member Body of the country where the NCB is located.	<input type="checkbox"/>
2. Application in writing from the candidate NCB which is copied to the Member Body of the country where the NCB is located	<input type="checkbox"/>
3. Application Form, Document OD-CB2011, for candidate CBTL/ACTLs	<input type="checkbox"/>
4. Declaration of Testing Experience, Annex 1B of OD-CB2005/Annex 1C of OD-CB2005	<input type="checkbox"/>
5. List of Testing Equipment relevant to the scope for which the Recognition is sought OD-CB2024	<input type="checkbox"/>
6. Check List OD-CB2017	<input type="checkbox"/>
7. Objective evidence that the candidate CBTL/ACTL <ul style="list-style-type: none"> • is an integral part, such as a department, division, branch or subsidiary of the relevant NCB, or • is under the complete technical and legal control of the relevant NCB, or • a written agreement clearly outlining the commitment, duty and responsibility of both the candidate CBTL/ACTL and the relevant NCB to follow IECEE Rules. 	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
8. Organization Charts of the candidate CBTL/ACTL	<input type="checkbox"/>
9. If the candidate CBTL/ACTL is accredited, Accreditation Certificate(s) and related scope. If the candidate CBTL is not accredited, complete and return Annex 2 of OD-CB2007.	<input type="checkbox"/>
10. OD-CB2005 duly "pre-filled in" to the best extent possible. <i>Note: It is the Role of the Lead Assessor to complete the Assessment Report(s) however, for the sake of efficiency and to save time, it is desirable that the assessed CBTL/ACTL pre-completes these ODs with as much information as possible by using the same (or compatible) virus free software.</i>	<input type="checkbox"/>



Part 4

NCB/CBTL/ACTL(s) seeking Extension for part two(s) of Standards falling under Product Categories already Recognized within their scope.

Documentation to be provided prior to the assignment of the Assessment Team

Should the NCB/CBTL/ACTL request that Scope Extension Assessment take place in conjunction with the Re-assessment, documentation shall be provided 3 months in advance of the set re-assessment date

Documentation to be provided prior to the application being processed

<p>1. Application in writing from the candidate NCB which is copied to the Member Body of the country where the NCB is located</p> <p><i>Note: Also in the case when the application concerns only and associated CBTL</i></p>	<input type="checkbox"/>
<p>2. Claim of Capability OD-CB2021 and supporting documentation as checked off in the Claim of Capability</p>	<input type="checkbox"/>

Documentation to be provided upon request by the IECEE Secretariat after examination of the application

<p>3. Declaration of Certification and Testing Experience, Annex 1B/C of OD-CB2004 & OD-CB2005</p>	<input type="checkbox"/>
<p>4. If the candidate NCB/CBTL/ACTL(s) is/are accredited, Accreditation Certificate(s) covering the relevant scope. If the candidate NCB/CBTL/ACTL(s) are not accredited, complete and return Annex 2 of OD-CB2007.</p>	<input type="checkbox"/>
<p>5. When applicable, a list of National Differences for each standard, which will be requested by the responsible NCB when recognizing CB Test Certificates for the purpose of granting its Certification Mark</p>	<input type="checkbox"/>
<p>6. When applicable, a list of Regulatory requirements for each standard, which will be requested by the responsible NCB when recognizing CB Test Certificates for the purpose of granting its Certification Mark</p>	<input type="checkbox"/>
<p>7. If assessment is necessary, OD-CB2004 and OD-CB2005 duly “pre-filled in” to the best extent possible.</p> <p><i>Note: It is the Role of the Lead Assessor to complete the Assessment Report(s) however, for the sake of efficiency and to save time, it is desirable that the assessed NCB/CBTL/ACTL pre-completes these ODs with as much information as possible by using the same (or compatible) virus free software.</i></p>	<input type="checkbox"/>



Part 5

Extension of scope for NCB/CBTL/ACTL(s) for Standards/Product categories not under their Recognized scope.

Documentation to be provided prior to the assignment of the Assessment Team

Should the NCB/CBTL/ACTL request that Scope Extension Assessment take place in conjunction with the Re-assessment, documentation shall be provided 3 months in advance of the set re-assessment date

1. Application in writing from the candidate NCB which is copied to the Member Body of the country where the NCB is located	<input type="checkbox"/>
2. Application Form, Document OD-CB2010, for NCBs	<input type="checkbox"/>
3. Application Form, Document OD-CB2011, for CBTL/ACTLs	<input type="checkbox"/>
4. Declaration of Certification and Testing Experience, Annex 1B/C of OD-CB2004 & OD-CB2005	<input type="checkbox"/>
5. List of Testing Equipment relevant to the scope for which the Recognition is sought OD-CB2024	<input type="checkbox"/>
6. If the candidate NCB/CBTL/ACTL(s) is/are accredited, Accreditation Certificate(s) covering the relevant scope. If the candidate NCB/CBTL(s) are not accredited, complete and return Annex 2.	<input type="checkbox"/>
7. When applicable, a list of National Differences for each standard, which will be requested by the responsible NCB when recognizing CB Test Certificates for the purpose of granting its Certification Mark	<input type="checkbox"/>
8. When applicable, a list of Regulatory requirements for each standard, which will be requested by the responsible NCB when recognizing CB Test Certificates for the purpose of granting its Certification Mark	<input type="checkbox"/>
9. If assessment is necessary, OD-CB2004 duly "pre-filled in" to the best extent possible <i>Note: It is the Role of the Lead Assessor to complete the Assessment Report(s) however, for the sake of efficiency and to save time, it is desirable that the assessed NCB/CBTL pre-completes these ODs with as much information as possible by using the same (or compatible) virus free software.</i>	<input type="checkbox"/>
10. If assessment is necessary, OD-CB2005 duly "pre-filled in" to the best extent possible <i>Note: It is the Role of the Lead Assessor to complete the Assessment Report(s) however, for the sake of efficiency and to save time, it is desirable that the assessed NCB/CBTL/ACTL pre-completes these ODs with as much information as possible by using the same (or compatible) virus free software.</i>	<input type="checkbox"/>



Part 6

Re-Assessment of NCB and Associated CBTL/ACTLs.

Documentation to be provided no later than one month before the re-assessment date

Should the NCB/CBTL/ACTL request that Scope Extension Assessment take place in conjunction with the Re-assessment, documentation shall be provided 3 months in advance of the set re-assessment date

1. Check List for NCBs OD-CB2016 only if changes have been made since the last re-assessment. If no changes occurred since last re-assessment please complete and return Annex 2 of OD-CB2007.	<input type="checkbox"/>
2. Check List for CBTL/ACTLs OD-CB2017 only if changes have been made since the last re-assessment. If no changes occurred since last re-assessment please complete and return Annex 2 of OD-CB2007..	<input type="checkbox"/>
3. If accredited, NCB/CBTL(s), Copy of the Accreditation Certificate(s) and related scope. If the candidate NCB/CBTL(s) are not accredited, complete and return Annex 2 of OD-CB2007..	<input type="checkbox"/>
4. Relevant parts of the <i>OD-CB2004 and/or OD-CB2005</i> , duly “pre-filled in” to the best extent possible <i>Note: It is the Role of the Lead Assessor to complete the Assessment Report(s) however, for the sake of efficiency and to save time, it is desirable that the assessed NCB/CBTL/ACTL pre-completes these ODs with as much information as possible by using the same (or compatible) virus free software.</i>	<input type="checkbox"/>



Part 7A

**Documentation to be provided to request scope extension for
new editions/amendments for standards already included within
their scope**

Documentation to be provided prior to the application being processed

1. Application in writing from the candidate NCB which is copied to the Member Body of the country where the NCB is located	<input type="checkbox"/>
2. Claim of Capability OD-CB2021 and supporting documentation as checked off in the claim of capability	<input type="checkbox"/>

Part 7B

**Fast Track Extension acceptance process for
standards, editions, amendments for which the NCB has been
already accepted for previous standard edition(s)**

Documentation to be provided prior to the application being processed

1. Application in writing from the candidate NCB which is copied to the Member Body of the country where the NCB is located	<input type="checkbox"/>
2. Fast Track Extension (OD-CB2042) application form	<input type="checkbox"/>



Part 8

Transfer of CBTL to a different responsible NCB for one or more Product categories

Documentation to be provided prior to the application being processed

1. Application in writing from the new NCB which is copied to the Member Body of the country where the NCB is located and to the relevant CBTL	<input type="checkbox"/>
<p>2. Information in writing from the current NCB informing that its responsibility over the CBTL will discontinue with a defined date which is copied to the relevant CBTL</p> <p><i>Note: The contract agreement between the NCB and CBTL must have provision for termination of the contract. If the original NCB for whatever reason will not agree to end the cooperation with the CBTL, the date of termination of the contract will apply. In any case, the CBTL before transferring its activity to a new NCB shall complete all its current projects with the original NCB</i></p>	<input type="checkbox"/>
<p>3. Objective evidence that the candidate CBTL/ACTL</p> <ul style="list-style-type: none"> • is an integral part, such as a department, division, branch or subsidiary of the relevant NCB, or • is under the complete technical and legal control of the relevant NCB, or • a written agreement clearly outlining the commitment, duty and responsibility of both the candidate CBTL/ACTL and the relevant NCB to follow IECEE Rules.* <p><i>* Note: Evidence of procedures for information dissemination between the CBTL and the new NCB and evidence of adequate procedures for the NCB control of the CBTL testing within the scheme shall be included.</i></p>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
4. Evidence of an assessment visit to the CBTL on behalf of the new NCB	<input type="checkbox"/>

Upon completion the IECEE Secretariat will acknowledge the changes and notify the parties (NCBs & CBTL) about the new status of the CBTL and an article will be placed on the "What's New" area of the website.-



Annex 1

List of documents to be made available during on-site assessments

TYPICAL DOCUMENTATION TO BE MADE AVAILABLE DURING THE ASSESSMENT OF NCBs

The NCB shall provide (through publications, electronic media or other means), updated at regular intervals, and make available on request by the Lead Assessor, the following:

- a) Information about the authority under which the certification body operates;
- b) A documented statement of its product certification system, including its rules and procedures for granting, maintaining, extending, suspending and withdrawing certification;
- c) Information about the evaluation procedures and the certification process related to each product certification system;
- d) A description of the means by which the organization obtains financial support and general information on the fees charged to applicants and to suppliers of certified products;
- e) A description of the rights and duties of applicants and suppliers of certified products, including requirements, restrictions or limitations on the use of the certification body's logo and on the ways of referring to the certification granted;
- f) Information about procedures for handling complaints, appeals and disputes;
- g) A directory of certified products and their suppliers;
- h) Agreement/Contract between the NCB and associated CBTL(s)
- i) Agreement/Contract between the NCB and associated TMPs, WMTs, SMTs, RMTs
- j) Complete certification files of each product category
- k) IEC standards as per the scope
- l) IECEE-CMC list of current decisions
- m) IECEE 01, IECEE 02, IECEE 03 (if applicable), Operational Documents
- n) IECEE-CTL Decision Sheets and Operational Procedures
- o) C.V. of involved staff
- p) List of National Differences
- q) List of Regulatory requirements
- r) IECEE Training provided to NCB's staff and associated CBTL(S)
- s) Quality Manual and other associates procedures (at least the index in English).
- t) **Impartiality & Confidentiality Policy**

Additional Documentation required for CB-FCS assessments/re-assessments:

- a) Information about the Factory Inspection department (however named) capability (if any)

TYPICAL DOCUMENTATION TO BE MADE AVAILABLE DURING THE ASSESSMENT OF CBTL/ACTLs

The CBTL shall provide (through publications, electronic media or other means), update at regular intervals, and make available on request, the following:

- a) IEC Standards and related IEC interpretation sheets and CTL Decision Sheets
- b) Working instructions, Testing procedures/methods
- c) IECEE Blank Test Report Forms related to the scope for which the CBTL has been accepted
- d) Testing proficiency experience
- e) Calibration records
- f) Calibration Services and Calibration Traceability
- g) List of defined Testing Equipment/facilities



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- h) C.V. of involved staff
- i) List of National Differences
- j) List of Regulatory requirements
- k) Measurement Uncertainty and Accuracy procedure(s)
- l) Sample Identification procedure
- m) Quality Manual and other associates procedures (at least the index in English).
- n) **Impartiality & Confidentiality Policy**



Annex 2 Declaration of documents not provided

CHECK LIST OD-CB2016 and OD-CB2017

We hereby declare that no changes have occurred within the following
*NCB/*CBTL/*ACTL since last assessment/re-assessment and that the
previous checklist OD-CB 2016/OD-CB2017 is still valid:

*NCB/*CBTL/*ACTL name (s):

*Delete as appropriate

Address:

Date:

Signature:

ACCREDITATION CERTIFICATE(S)

We hereby declare that the following *NCB/*CBTL/*ACTL is not formally
accredited:

*NCB/*CBTL/*ACTL name (s):

*Delete as appropriate

Address:

Date:

Signature: