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# IECEE PUBLICATIONS

**IEC System of Conformity Assessment Schemes for Electrotechnical Equipment and Components (IECEE System)**

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**IECEE Membership**





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## IEC System of Conformity Assessment Schemes for Electrotechnical Equipment and Components (IECEE)

### IECEE Membership

#### FOREWORD

This publication governs the corporate and administrative structure of the IEC system of conformity assessment schemes for electrotechnical equipment and components.

This publication has been prepared and approved by the Certification Management Committee.

Each of the annexes to this publication is normative.

#### Document Owner

CMC WG 10 "Maintenance of the IECEE Rules and Operational Documents"

#### History of changes

<u>Revision</u> Date	Brief summary of changes
2017-05-17	The following sub-clauses were changed: 3.1.4.1, 3.1.4.2, 3.1.4.4(addition), 3.2.12, 4.1.2, 5.12, 6.1.5, 7
2016-06-01	The following sub-clauses were changed mainly due to the transition from MTL to CTF program: sub-clauses 7.1, 7.2 and Annex A
<u>2018-XX-XX02-08</u>	<u>The following clauses were updated: Clauses 2.1, 2.5, 2.7, 3.2.1 to 3.2.7 (Clause 3.2 were renumbered from 3.2.1-3.2.12 to 3.2.1-3.2.7), 4 (addition, the clause numbers after Cl.4 were all renumbered due to this addition. The following clause numbers indicated after renumbered) —56.1 d), 56.14, 56.16 (addition), 67.3 and Annex A</u>

Effective date	<u>Next maintenance due</u> <del>Target revision</del> date
<del>2017-05-17</del> <u>2018-06-05</u>	<del>2020-05-17</del> <u>2021-01-01</u>

## 1 Scope

This publication contains the Particular Rules of Procedure of the IECEE pertaining to the Membership of Member Bodies (MBs), National Certification Bodies (NCBs), CB Testing Laboratories (CBTLs) and Specialized Testing Laboratories (SPTLs).

## 2 Member Bodies

**2.1** Membership of the IECEE is open to any country in which there is a Full or Associate Member National Committee of the IEC, as defined in Article 4 of the Statutes of the IEC.

Membership of the IECEE is also open to non-IEC member countries, subject to the concurrence of the IEC Executive Committee (ExCo) regarding general IEC policy and satisfaction of the specific requirements for membership, as set out in [Annex D of IEC CA 01](#) ~~Annex C of IECEE 01~~.

The Member Body of the IECEE shall be fully representative of the national electrotechnology community and should include a wide representation from industry, electrical regulatory authorities and standards bodies as well as conformity assessment interests. It may be either

- the National Committee of IEC, or
- a body notified to the IEC by the National Committee of the IEC.

**2.2** The IECEE Member Bodies nominated by Full or Associate Member National Committees or from non-IEC member countries are entitled to participate fully in the committees and activity of the IECEE, except that representatives of IEC Associate Members and of non-IEC member countries are not eligible for election to any officer position.

Suspended IEC National Committees, or bodies notified by them for System membership, shall not be permitted to retain membership of the IECEE or be admitted to membership in the IECEE during the period of suspension. National Certification Bodies and Testing Laboratories associated with such suspended IEC members or the nominated IECEE member body shall not be permitted to participate in the activities of the IECEE.

**2.3** A Member Body of the IECEE can be either

- a) a Member Body with Issuing and Recognizing National Certification Body or Bodies (NCB(s)),
- b) a Member Body with Recognizing NCB(s) only, or
- c) a Member Body with neither Issuing and Recognizing NCB(s) nor Recognizing NCB(s).

**2.4** There shall be only one Member Body of the IECEE in a particular country.

**2.5** Application for membership shall be submitted to the IECEE Secretariat by the National Committee of the IEC. The candidate Member Body shall undertake to abide by [IEC CA 01 "IEC Conformity Assessment Systems – Basic Rules" and IECEE 01-S "IECEE Supplement to Harmonized Basic Rules IEC CA 01"](#) ~~the Basic Rules of of the IECEE~~.

The application shall also include a plan to recognize CB Test Certificates and assessment work carried out by any member of the System for the purpose of granting the "National Mark" or other means of national recognition to facilitate trade in the country.

The plan shall be implemented within a timeframe as decided by the CMC.

**2.6** A Member Body wishing to withdraw from membership of the IECEE shall give at least one calendar year's notice. This Member Body shall pay its annual dues for the calendar year following the year during which the notice was given, unless notice of withdrawal is received up to and including 30 June, in which case the Member Body shall only be required to pay the current year's dues.

~~2.7 Any proposal to suspend membership of the IECEE, or to cancel such suspension, shall require agreement by a majority of at two thirdleast four fifths of the total number of Member Bodies, except in the case of suspension for non-payment of dues, application fees, surcharges, etc. as decided by the CMC. In accordance with Clause 5.6 of IEC CA 01, in the case of violation of the rules or fundamental aim of the IECEE regarding acceptance of CB Test Certificates/Reports, suspension can be decided by the CMC.~~

~~If the suspension of the membership has not been cancelled during the year after which the decision was taken, the body concerned ceases to be a member of the IECEE.~~

Comment [tsm1]: Removed as per CMC Decision 18/2018

### 3 National Certification Bodies

#### 3.1 Recognizing NCBs

##### 3.1.1 Prerequisites for Acceptance

**3.1.1.1** The NCB shall be well-established and operate a certification or approval scheme at national level for electrotechnical equipment or components that provides market access to the country of the NCB.

When it is legally possible, the certification mark, if any, of that NCB shall be registered at least in the country of the NCB.

**3.1.1.2** The NCB shall be nominated to the IECEE by its IECEE Member Body

Note: Anyone in any country is free to recognize CB Test Certificate in the market place. However, only organizations that comply with these requirements are eligible to be accepted as IECEE Recognizing NCBs.

a) A Recognizing NCB should not be, or be influenced by, a body which manufactures or trades in electrotechnical equipment and components.

b) A Recognizing NCB should be impartial and not offer assistance or other services which may compromise the objectivity of its certification activities and decisions.

##### 3.1.2 Application for Acceptance

**3.1.2.1** An application for the acceptance of an NCB as a Recognizing NCB for one or more Product Categories / Standards accepted for use in the IECEE (IECEE Categories) shall be made by the candidate NCB through the Member Body the IECEE in the country of the candidate NCB.

**3.1.2.2** The application shall be submitted to the Executive Secretary of the IECEE and shall be accompanied by the documentation as detailed in OD-2007 as far as applicable.

##### 3.1.3 Acceptance

**3.1.3.1** The Executive Secretary and two appointed Lead Assessors will perform an administrative assessment of the application documentation to determine whether the candidate Recognizing NCB fulfils the Prerequisites for Acceptance 3.1.1 and complies with other applicable requirements of these Particular Rules of Procedure.

**3.1.3.2** A positive outcome will result in a recommendation to the Peer Assessment Committee for the acceptance of the Candidate NCB by the CMC.

##### 3.1.4 Suspension

**3.1.4.1** When it is determined that an NCB no longer fulfils the "Requirements for a Recognizing NCB", the NCB shall be offered the opportunity to take corrective action over a period to be determined on a case-by-case basis following the nature of the infringement.

**3.1.4.2** The acceptance of a Recognizing NCB may be suspended or withdrawn by the CMC on recommendation of the Executive Secretary if it no longer fulfil the "Requirements for a Recognizing NCB" or attempts to inflict damage upon the IECEE's reputation or image.

**3.1.4.3** In case of a suspension or withdrawal, the Recognizing NCB shall no longer claim any association with the IECEE.

**3.1.4.4** IECEE 02-3 clause 10 and OD-2033 include specific infringements that may lead to the suspension of the NCB, they specify the nature or extent of the suspension and set other deadlines for root cause analysis and proposed corrective actions.

#### 3.2 Issuing and Recognizing NCBs

Note: When an application is made for acceptance of an NCB that intends to employ already accepted CBTLs, assessment is made according to this subclause.

Applications for acceptance of an NCB and an associated testing laboratory may be submitted together or as one combined application, and assessment according to 3.2 and ~~63-3~~ may be combined.

### 3.2.1 Prerequisites for Acceptance

**3.2.1.1** The NCB shall be well-established and operate a certification or approval scheme at national level for electrotechnical equipment or components that provides market access to the country of the NCB. When it is legally possible, the certification mark, if any, of that NCB shall be registered at least in the country of the NCB.

**3.2.1.2** The NCB shall be nominated to the IECEE by its IECEE Member Body.

An NCB may be given the right by the CMC to issue CB Test Certificates for specified individual product categories in compliance with specified standards according to the procedures stipulated in 3.2.2 to 3.2.549 and under the following conditions:

- a) the NCB shall ~~be well-established and~~ fulfil the conditions of 3.1.1 for at least the standards for which acceptance to issue CB Test Certificates is sought. When the candidate NCB has not earlier been accepted as a Recognizing NCB according to 3.1, the conditions of 3.1.1 shall be included in the assessment;
- b) the NCB has within its organization, or has an agreement to employ, a CBTL accepted by the IECEE according to Clause 46 of these Rules for the relevant product standards; The NCB shall ensure that it is in full control of its CBTLs and SPTLs;
- c) Note: See the Note to 3.2 under the headline.
- d) an Issuing and Recognizing NCB shall not be, or be influenced by, a body which manufactures or trades in Electrotechnical equipment and components. Furthermore, the NCB shall be impartial and not offer assistance or other services which may compromise the objectivity of its certification activities and decisions;
- e) the competence of the NCB to comply with these Rules shall be demonstrated by assessment. The general competence, efficiency, experience, familiarity with the relevant standards and the products included in those standards as well as compliance with applicable parts of ~~the relevant~~ ISO/IEC 17065 shall be taken into consideration. Accreditation, if any, shall be taken into account when made by a recognized national accreditation body ~~provides an accreditation service in the country.~~
- f) Experience is considered sufficient when, within the last 3 (three) years, at least 10 Certificates have been issued for the product category ~~applied for but at least one Certificate for the specific part 2 standard applied for.~~ However, at least one Certificate is required for each standard requested. Therefore, the required minimal number of Test Certificates presented may exceed 10 Test Certificates.
- g) the NCB is required to have clearly written acceptance policies consistent with OD-2039, and provisions to ensure that its CBTLs understand and apply these policies.

Note: NCBs are encouraged to recognize CB Test Certificates over a wider product area than covered by their right to issue CB Test Certificates.

### 3.2.2 Application for Acceptance

An application for the acceptance of an NCB to issue CB Test Certificates for one or more specified individual products in compliance with specified standards accepted for use in the IECEE shall be made by the candidate NCB, via the Member Body of the IECEE in the country of the candidate NCB.

The application shall be submitted to the Secretary of the IECEE and shall be accompanied by the relevant documentation as detailed in OD-2007.

Note: When a laboratory is part of the NCB organization such as a department or a division, and is at the same location as the NCB, the application according to this sub-clause for the NCB and the application according to 65.2 for the testing laboratory may be combined.

### 3.2.3 National Differences

National Differences provided to the IECEE Secretariat by a NCB at the time of application to add a new standard to its scope will be reviewed by the IECEE Executive Secretary. If judged to be potentially excessive, the Differences will be sent to 10 CBTLs in different regions operating for this standard for the purpose of verifying that they have or can easily acquire the

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capability to test to these National Differences. The CBTLs are required to respond within 30 days. If more than 50% of respondents indicate that they can carry out the testing, the differences are considered acceptable.

The above procedure applies to National Differences in the standards for the products being evaluated, for example IEC 60950-1 for computer, IEC 61558 for transformer, IEC 61058 for a switch, if these are the products being evaluated for issuing a CB Test Certificate. This procedure does not apply to components of the end products being evaluated even though National Differences related to components used in the end product must also be declared.

### **3.2.4 Initial Acceptance and Continuous Acceptance**

The candidate Issuing and Recognizing CB shall be assessed in accordance with the particular Rules of Procedure IECEE 02-3.

~~3.2.5~~—The Secretary of the IECEE shall submit a consolidated report with recommendations to the CMC for decision

~~3.2.6~~—If the outcome of the Members' review is positive, the Secretary of the IECEE shall submit a final recommendation to the CMC for decision.

~~3.2.7~~—If the outcome of the Members' review is negative, the Secretary of the IECEE may, depending on the findings, suggest to the candidate Issuing and Recognizing NCB:

- to withdraw the application, or
- to modify the application, or
- to put the application on hold, or
- To confirm acceptance after a new series of at least three CB Certificates on products covered by similar Standards have been satisfactorily reviewed by an appointed NCB within a further one year period.
- to submit to a new assessment.

By means of re-assessment every three (3) years, it shall be verified whether the conditions of 3.2.1 are still fulfilled to grant continuous acceptance.

### **3.2.5 Scope Extension**

#### ~~3.2.8~~

When an Issuing and Recognizing NCB wishes to extend its acceptance to further products or standards accepted for use in the IECEE, an application shall be submitted to the Secretariat of the IECEE with copy to the relevant Member Body.

If this is the first application for a standard for that country the NCB shall provide the **National Differences** for that standard together with supporting evidence e.g. a statement or a publication by a Member Body, a Regulator authority or a standardization body.

Arrangements on evidence of National Differences shall be made between the NCB(s) and the relevant Member Body at national level prior submitting the application to the IECEE Secretariat.

Upon acceptance of the application, the extension of the scope is processed by the IECEE Secretariat according to the present Rules of Procedure and the relevant Operational Documents. Upon completion of the acceptance process the applicant NCB is granted with a provisional acceptance whilst awaiting the endorsement by the CMC.

~~3.2.9~~—~~By means of re-assessment every three (3) years, the assessors shall verify whether the conditions of 3.2.1 are still fulfilled.~~

~~3.2.10~~—Issuing and Recognizing NCBs can be granted acceptance of new product categories being added to CB Scheme through administrative scope extension subject to the provision of a Claim of Competence for both certification staff and experience. As part of their application, the NCB is required to provide the name of one technical expert in that category to be further used as a technical assessor.

### **3.2.611 New IECEE Services**

—Concerning new IECEE services, administrative scope extension can only be granted within one year from the date when the service was first launched by the IECEE.



### ~~3.2.742~~ **Suspension**

The acceptance of an Issuing and Recognizing NCB may be suspended or withdrawn by the CMC on recommendation of the Secretary of the IECEE if that NCB no longer fulfils the conditions of 3.2.1. Before such a recommendation is made, the NCB shall be given the opportunity to take corrective action over a period of six months and state its own opinion on the matter.

In case of a suspension, the NCB in question shall not be allowed to claim relations with the IECEE or the CB Scheme.

IECEE 02-3 clause 10 and OD-2033 include specific infringements that may lead to the suspension of the NCB, they specify the nature or extent of the suspension and set other deadlines for root cause analysis and proposed corrective actions.

#### ~~Other Recognizing Bodies~~

##### ~~Prerequisites for Acceptance~~

~~4.1.1 Other Recognizing Bodies (RBs) are entities, other than NCBs, that recognize IECEE CB Certificates to provide market access for electrotechnical equipment or components to the country or region of the RB.~~

~~4.1.2 The RB shall be nominated to the IECEE by its IECEE Member Body.~~

##### ~~Application for Acceptance~~

~~4.2.1 An application for the acceptance of an RB for one or more Product Categories / Standards accepted for use in the IECEE (IECEE Categories) shall be made by the candidate RB through the Member Body the IECEE in the country of the candidate RB.~~

~~4.2.2 The application shall be submitted to the Executive Secretary of the IECEE and shall be accompanied by the documentation as detailed in OD-2007 as far as applicable.~~

##### ~~Acceptance~~

~~4.3.1 The Executive Secretary will perform an administrative assessment of the application documentation to determine whether the candidate RB fulfils the Prerequisites for Acceptance (4.1.1) and complies with other applicable requirements of these Particular Rules of Procedure.~~

~~4.3.2 A positive outcome will result in a recommendation for the acceptance of the Candidate RB by the CMC.~~

##### ~~Suspension~~

~~4.4.1 When it is determined that an RB no longer fulfils the "Requirements for a RB," the RB shall be offered the opportunity to take appropriate action over a period to be determined on a case-by-case basis following the nature of the discrepancy.~~

~~4.4.2 The acceptance of an RB may be suspended or withdrawn by the CMC on recommendation of the Executive Secretary if it no longer fulfils the "Requirements for a RB" including IECEE 02-3 clause 10 and OD-2033.~~

~~4.4.3 In case of a suspension or withdrawal, the RB shall no longer claim any association with the IECEE.~~

Comment [tsm2]: Removed as per CMC decision 18/2018

## **4 CB Factory Surveillance Bodies**

### **4.1 Prerequisites for Acceptance**

4.1.1 The CB-FSB shall operate under the responsibility of an accepted issuing and recognizing NCB.

4.1.2 A CB-FSB may cooperate with more than one NCB in the same IECEE category.

A CB-FCB may operate for any NCB in any country.

4.1.3 The CB-FSB shall be nominated to the IECEE by its IECEE Member Body.

4.1.4 CB-FSBs carrying out Initial Assessment and Factory Surveillance shall not be, or be influenced by, a body that manufactures or trades in electrotechnical equipment and

components. Furthermore, the CB-FSB shall be impartial and not offer assistance or other services to the factory that may compromise the objectivity of its factory Surveillance activities and decisions.

## **4.2 Application for Acceptance**

**4.2.1** An application for the acceptance of a CB-FSB for one or more IECEE Categories shall be made by the responsible NCB endorsed by its Member Body of the IECEE.

**4.2.2** The application shall be submitted to the Executive Secretary of the IECEE and shall be accompanied by the documentation as detailed in OD-2007 as far as applicable.

**4.2.3** The applied scope must be in the scope of the responsible NCB.

Note: an application to seek CB-FSS participation can only be made if the NCB is recognized and accepted as member of the CB Scheme as Issuing/Recognizing Body in the last three years prior to the application.

## **4.3 Suspension or termination**

### **4.3.1 Suspension or withdrawal by the CMC**

The acceptance of a CB-FSB may be suspended or withdrawn by the CMC on recommendation of the Secretary of the IECEE if that CB-FSB no longer fulfils the conditions for participation or if it violates these Rules. Before such a recommendation is made, the CB-FSB shall be given the opportunity to take corrective action over a period of six months and state its own opinion on the matter.

In case of a suspension, the CB-FSB in question shall not be allowed to claim relations with the IECEE or the CB Scheme.

### **4.3.2 Suspension or withdrawal by the NCB**

An NCB wishing to discontinue recognizing Initial and Routine Factory Surveillance Reports shall, via the Member Body of the IECEE, notify the Executive Secretary of the IECEE and shall indicate the date from which the discontinuation becomes effective at least one year in advance.

### **4.3.3 Suspension or withdrawal consequences**

Such a notice automatically cancels the right for the NCB in conjunction with all associated CB-FSBs to operate in CB-FSS and to issue Factory Surveillance Reports in the field of the IECEE System.

### **4.3.4 Suspension or withdrawal information**

The IECEE Secretariat will post this information on the IECEE Web Site and also inform all other NCBs of the decision.

## **4.4 Roles and responsibilities in the issuing and accepting process of Factory Surveillance Reports**

### **4.4.1 Role and responsibility of the CFS**

It is the responsibility of the IECEE CFS to prepare the necessary Training Programs for future IECEE Registered Factory Inspectors, in order to achieve a uniform performance of the Factory Surveillances.

### **4.4.2 Role and responsibility of the NCB**

The NCB is responsible for:

- selection and designation of the CB-FSB;
- ensuring that the CB-FSBs have the necessary background competence and qualification to perform factory surveillance
- specific training for the differences from the basic IECEE Factory Surveillance Procedure
- execution of a signed agreement – unless the same corporate structure - defining the scope of the CB-FSB and enabling its activities;

- on-going supervision and monitoring of the CB-FSB and the Factory Inspectors;
- on-going training of the CB-FSB in the relevant procedures of the IECEE;
- monitoring the competence of the CB-FSB and its staff through assessments;
- registration of the Factory Inspectors with the IECEE Secretary, and maintenance of the current details in the register;

#### 4.4.3 Role and responsibility of the CB-FSB

The CB-FSB is responsible for:

- following the requirements of the signed agreement with the NCB enabling the activities of the CB-FSB;
- providing the facilities and resources to support the Factory Inspectors;
- ensuring that the Factory Inspectors have technical competence and experience within their scope;
- maintaining accurate documentation regarding technical competency of its Factory Inspectors for the accepted scope and informing the responsible NCB about any change in status;
- nominating Factory Inspectors that will be acting as IECEE Registered Factory Inspectors once they will get the necessary training provided by the IECEE System.

These responsibilities cannot be delegated or subcontracted by the CB-FSB.

#### 4.4.4 Role and responsibility of the Factory Inspector

The Factory Inspectors is responsible for:

- operating in compliance with all relevant requirements of the IECEE CB-FSS requirements, procedures and decisions;
- operating with the procedures and working instructions of the responsible CB-FSB and NCB regarding the activities for Factory Surveillances
- maintaining technical competency for the accepted scope,
- being available, as appropriate, to be assessed under the peer assessment programmes pertaining to the responsible NCB / CB-FSB as requested in advance by the Lead Assessor of the Peer Assessment Team;
- accepting on site supervision upon request of the responsible NCB

These responsibilities cannot be delegated or subcontracted by the Factory Inspector.

#### 4.4.5 Role and responsibility of Factory Surveillance Peer Assessors

IECEE Lead Assessors and Technical Assessors once registered as Factory Surveillance Peer Assessors (RFPA) can be assigned to carry out Peer Assessments to the CB-FSBs for acceptance and continued acceptance to operate in the IECEE System.

Competent Factory Inspectors e.g. Registered Factory Inspectors are entitled to also apply to be registered Factory Surveillance Peer Assessors. Specific Trainings will be provided by the IECEE to qualify Registered Factory Peer Assessors.

A RFPA has the obligation to attend the trainings and workshops as organized by the IECEE. RFPA's competence is checked and confirmed through due examinations.

## 5 CB Testing Laboratories

Note: Applications for acceptance of an NCB and associated testing laboratory(ies) proposed by the candidate NCB may be submitted together or as one combined application, and their assessment may also be combined.

**5.1** Acceptance of a testing laboratory as a CBTL is subject to the procedures stipulated in 5.2 to 5.12 and to the following conditions:

- a) Whether or not the testing laboratory has its domicile in the country of the Issuing and Recognizing NCB which is proposing it for the specified individual products and for the standards concerned, it may be eligible for acceptance as CBTL to participate in CB Scheme. In this case, the candidate laboratory shall either
- be an integral part, such as a department, division, branch or subsidiary of that Issuing and Recognizing NCB, or
  - be under the complete technical and legal control of that Issuing and Recognizing NCB, or
  - have a written agreement with that Issuing and Recognizing NCB clearly outlining the commitment, duty and responsibility of both parties to follow these Rules;
- A CBTL shall not be permitted to participate in the CB Scheme for an IEC Standard accepted for use in the Scheme when its responsible NCB has not been accepted for that IEC Standard.

A CBTL shall not be permitted to carry out testing for more than one NCB in the same product categories and standards except for the following case:

- i) In the PV and EMC categories, when two or more NCBs have signed an agreement with the CBTL within those categories.

In the category INDA, for which some standards also appear in other product categories, a CBTL is permitted to work with more than one NCB for the same standard under different categories.

Each NCB shall in any case be responsible for the activities of its CBTL.

- b) a CBTL shall not be, or be influenced by, a body which manufactures or trades in electrotechnical equipment and components. Furthermore, the CBTL shall be impartial and not offer assistance or other services which may compromise the objectivity of its testing activities and decisions;
- c) the competence of the testing laboratory shall be demonstrated by assessment. The general competence, efficiency, experience, familiarity with the relevant standards and the products included in those standards as well as compliance with applicable parts of the relevant ISO/IEC 17025 shall be taken into consideration. Accreditation, if any, shall be taken into account when a recognized national accreditation body provides an accreditation service in the country.
- d) Experience is considered sufficient when, within the last 3 (three) years, at least 10 Test Reports have been issued for the product category ~~applied for but at least one Test Report for the specific part 2 standard applied for.~~ However, at least one Test Report is required for each standards requested. Therefore, the required minimal number of Test Reports presented may exceed 10 Test Reports. If a CBTL has the required number of completed test reports, but does not demonstrate adequate competence for a specific standard, the assessment team may allow, as part of the NCR, a review of three subsequently completed test reports to confirm the competence of the CBTL. This would also apply to scope extension applications.

**5.2** An application for the acceptance of a laboratory as a CBTL for testing of specified individual products according to one or more standards accepted for use in the IECEE and which are in the scope of the Issuing and Recognizing NCB proposing the candidate laboratory, shall be made by the NCB, via the Member Body of the IECEE for that NCB.

The application shall be submitted to the Secretary of the IECEE and shall be accompanied by the relevant documentation as detailed in OD-2007.

Note: When a laboratory is a part of the NCB organization, such as a department or a division, and is at the same location as the NCB for which an application according to 3.2.2 will be submitted at the same time, the two applications may be combined as one application.

**5.3** The candidate CB Testing Laboratory shall be assessed in accordance with the particular Rules of Procedure IECEE 02-3.

**5.4** The Secretary of the IECEE shall then submit a consolidated report with recommendations to the CMC for decision.

**5.5** If the outcome of the Members' review is positive, the Secretary of the IECEE shall submit a final recommendation to the CMC for decision.

**5.6** If the outcome of the Members' review is negative, the Secretary of the IECEE may, depending on the findings, suggest to the candidate laboratory and to the Issuing and Recognizing NCB proposing its candidacy:

- to withdraw the application, or
- to modify the application, or
- to put the application on hold, or
- to confirm acceptance after a new series of at least three Test Reports on products covered by similar Standards have been satisfactorily reviewed by an appointed NCB within a further one year period.
- to submit to a new assessment.

**5.7** When a CBTL wishes to extend its acceptance to further products or standards accepted for use in the IECEE, an application shall be made to the Secretariat of the IECEE via the responsible NCB.

**5.8** An Issuing and Recognizing NCB, which has operated successfully within the CB Scheme for at least two years and has issued at least 40 CB Test Certificates during that time, may submit to the Secretary of the IECEE, applications for recognition of other CBTLs within its technical area of acceptance under the Scheme.

The Secretary of the IECEE shall consider whether an assessment is needed and give his recommendation to the CMC for decision.

**5.9** By means of re-assessment every three (3) years, the assessors shall verify whether the conditions of 5.1 are still fulfilled.

**5.10** CBTLs can be granted acceptance for new product categories being added to the CB scheme through administrative scope extension subject to the provision of a Claim of Competence for both laboratory staff and testing equipment.

**5.11** Concerning new IECEE services, administrative scope extension can only be granted within one year from the date when the service was first launched by the IECEE.

**5.12** The acceptance of a CBTL may be suspended or withdrawn by the CMC, on recommendation of the Secretary of the IECEE, if the laboratory no longer fulfils the conditions of 5.1. Before such a recommendation is made, the laboratory and the NCB involved shall have the opportunity to take corrective action over a period of six months and state their own opinion on the matter.

IECEE 02-3 clause 10 and OD-2033 include specific infringements that may lead to the suspension of the CBTL, they specify the nature or extent of the suspension and set other deadlines for root cause analysis and proposed corrective actions.

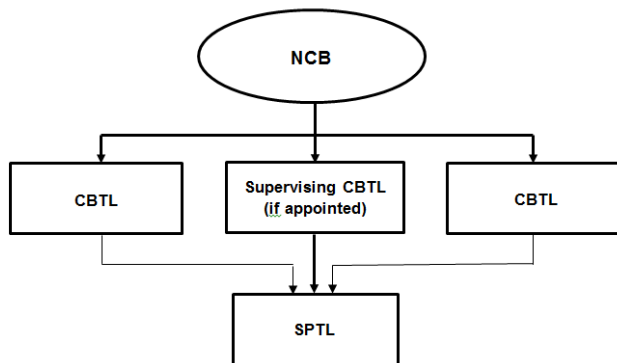
**5.13** CBTLs should participate in the Committee of Testing Laboratories (CTL) of the IECEE. If that is not possible, the laboratory shall be kept informed about the decisions and recommendations of the CTL by the national Member Body of the IECEE. The use of the CTL Decisions is compulsory for the CBTLs.

**5.14** CBTLs shall be physically on-site audited by their responsible NCBs once per year according to ISO/IEC 17025 and all relevant Operational Documents (ODs) of the IECEE CB Scheme. The audit shall include assessment of technical scope and the quality management system over a period of not more than 3 years. ~~and~~ The records of such on-site audits shall be under documented control procedures and available at the NCB/CBTL locations.

**5.15** CBTLs shall participate in applicable CTL Proficiency Testing Programs according to the accepted technical scope. See OD 5004.

**5.16** An NCB can assign part of the technical review to another NCB or CBTL as long as they are under the same corporate family and work under the same quality system.

## 6 Specialized Testing Laboratory (SPTL)



Specialized Testing Laboratory (SPTL) Concept

### 6.1 General requirements

**6.1.1** A SPTL is a dedicated facility that typically conducts highly specialized testing requiring test equipment that is very expensive to procure, maintain and calibrate and which might otherwise be used infrequently.

**6.1.2** A SPTL is accepted by the IECEE to carry out specific types of tests that might be common to a number of IEC product standards.

**6.1.3** A SPTL can be a stand-alone facility that can be used by all of the CBTLs of a responsible NCB(s).

**6.1.4** A SPTL can be within (i.e. a part of) a fully capable CBTL that can be used by all of the CBTLs of the responsible NCB.

**6.1.5** A SPTL can cover the “Required Equipment” (according to the CTL equipment lists) that is not available at the CBTLs to which it provides its testing services, except as stated in clause 6.1.7.

**6.1.6** A SPTL can cover a test or a sequence of tests as part of an overall testing campaign. In any case, the testing procedure sequence according to the IEC Standard shall not be interrupted.

**6.1.7** A SPTL can't be used to waive the requirements for basic testing equipment at CBTLs. For example, each CBTL must have humidity testing facilities on site, even though its SPTL has extra-large environmental testing chambers. Accordingly, humidity testing facilities shall not be completely omitted from any CBTL.

**6.1.8** The “Controlled List” of testing and evaluations carried out by a SPTL is provided in [Annex A](#).

**6.1.9** Where a CBTL does not possess some major, expensive, specialized and required (“R” or “SP”) test equipment for tests listed in Annex A that is available at the SPTL used by this CBTL, this relationship is not subject to the IECEE subcontracting requirements.

**6.1.10** (SPTL) shall comply with the requirements of ISO/IEC 17025 and all relevant Operational Documents (ODs) of the IECEE CB Scheme.

**6.1.11** The accepted scope of the SPTL shall be within the accepted scope of its NCB and the CBTLs that use SPTL.

**6.1.12** A SPTL participates in the IECEE CB Scheme under the responsibility of its National Certification Body (NCB).

**6.1.13** The NCB and its CBTLs that use the SPTL, must be able to demonstrate full control of the SPTL.

**6.1.14** Only the CBTL is entitled to issue a CB Test Report. Only the NCB is entitled to issue the CB Test Certificate based on the testing carried out by its CBTLs and SPTLs.

**6.1.15** The qualification criteria for a SPTL are the same as applicable to a CBTL, but are applied as appropriate to its limited scope and capabilities. Well-functioning quality management systems and continuous exchange of information between the NCB or a Supervising CBTL (where applicable) and its SPTL(s) are the necessary prerequisites for acceptance.

**6.1.16** The geographic location of the SPTL in relation to the location of the CBTL that use its testing services, must permit an effective completion of the required full test program for the products within the scope of these laboratories. Specifically, the shipment of test samples between the testing facilities must not present undue difficulties for routine test programs.

**6.1.17** A SPTL is subject to the same application and assessment fees as CBTLs.

## **6.2 Relationships among the SPTLs and their NCBs/CBTLs**

Option 1 - The NCB(s), CBTLs and its (their) SPTLs are part of the same corporate structure.

The SPTL is controlled as part of the NCB/CBTL structure, as follows:

- The NCB is responsible for managing and coordinating the activities of the SPTL in the same manner as it does for its CBTLs
- The NCB may appoint one of its CBTLs as the “Supervising CBTL” to be responsible for supervising the SPTL.

Option 2 - The NCB(s), CBTLs and its (their) SPTLs are not part of the same corporate structure

The SPTL is controlled by the NCB, as follows:

- Management and coordination of the SPTL is by a contractual arrangement that is basically equivalent to the arrangement(s) the NCB has with its external CBTLs
- The NCB is required to carry out supervisory activities to ensure the SPTL's operations are in full compliance with the IECEE requirements
- The NCB may appoint one of its CBTLs as the “Supervising CBTL” to be responsible for supervising the SPTL.

## **6.3 Responsibilities of the NCB for its CBTL(s) and SPTLs**

- ~~Ensuring that the NCB is in full control of its CBTLs and SPTLs.~~
- Providing measures (procedures, agreements, etc.) to give the CBTLs using the SPTL an appropriate level of authority over the SPTL.
- Auditing each CBTL and each SPTL according to ISO/IEC 17025 and all relevant Operational Documents (ODs) of the IECEE CB Scheme. The audit shall include assessment of technical scope and the quality management system.
- An on-site audit shall be carried out once per year and should cover all CB Scheme requirements over a period of not more than 3 years. Documenting the results of the NCB's audits of the CBTL and the SPTL operations.
- Overseeing operations and required training of SPTL on an on-going basis together with its CBTL(s).
- Maintaining records of the Technical Scope, available test equipment and testing capability of the SPTL
- Ensuring that the SPTL is only carrying out testing within the SPTL's accepted technical scope.
- Ensuring that the SPTL(s) participate(s) in the CTL Proficiency Testing Programs as applicable to its (their) accepted technical scope.

Note: The NCB may appoint the CBTL to conduct the necessary training or auditing of the SPTL, but the NCB remains the responsible party.

#### **6.4 Responsibilities of the Supervising CBTL for SPTL**

- On-going training of the SPTL for which it is responsible (as appointed by the Responsible NCB) for the operations and procedures of the IECEE CB Scheme.
- Establishing the technical competence of the SPTL.
- Controlling its (their) SPTL(s) according to the directions of the Responsible NCB
- Maintaining records of the accepted Technical Scope, available test equipment and testing capability of the SPTL
- Ensuring that the SPTL is only carrying out testing within the SPTL's accepted technical scope.
- Participating in the NCB's audits of the SPTL(s) for which the Main CBTL is responsible.
- Auditing of the SPTL on behalf of the NCB, if requested.
- Coordinating participation of its SPTL) with its own CTL Proficiency Testing Programs (as applicable to the Supervising CBTL's accepted technical scope and that of the SPTL).

#### **6.5 Responsibilities of all CBTLs using a SPTL**

- Compiling, reviewing and issuing of test reports and/or partial test reports prepared by the SPTL(s) for which it is responsible.
- Making sure that each testing location is fully identified along with the tests carried out at each location.
- Arranging all other required tests that are not performed at the SPTL(s).

#### **6.6 Responsibilities of the SPTL**

- Operating in compliance with the requirements of ISO/IEC 17025 and all relevant Operational Documents (ODs) of the IECEE CB Scheme.
- Appointing an appropriate person to be responsible for the facilities and services provided to the Main CBTLs and the NCB(s).
- Ensuring that all tests are carried out and reported to the CBTL(s) or NCB (as applicable) in accordance with the relevant technical requirements and the instructions of the CBTL(s) or NCB, as appropriate.
- Participating in applicable CTL Proficiency Testing Programs according to its accepted technical scope.

#### **6.7 Conditions Concerning Affiliation of the SPTL with its Supervising CBTL**

**6.7.1** A SPTL shall be permitted to participate in the IECEE Scheme with more than one CBTL associated with one or more NCBs in the same corporate structure.

**6.7.2** For "R" or "SP" tests, a SPTL may not be shared among CBTLs of different NCBS unless those NCBS are under the same corporate structure.

**6.7.3** Subcontracting to a SPTL by an NCB or CBTL that are not part of a Corporate Structure is permitted according to the OD-2012.

#### **6.8 CB Test Reports**

**6.8.1** CB Test Reports are compiled and issued by the CBTL. Where an SPTL carries out some of the testing program and prepares a draft CB Test Report for review by the CBTL, the CB Test Report shall carry the signatures of both, the SPTL and of the issuing CBTL.

**6.8.2** The CB Test Report shall contain information regarding which tests were conducted at the SPTL (s) and which were conducted at the CBTL. This information shall be added to the "Summary of Testing" field or "General Product Information" field of the CB Test Report.

### **7. Local Technical Representative**

The rules, procedures and responsibilities for the operation of a Local Technical Representative (LTR) are covered by OD-2034 (Operation of a Local Technical Representative (LTR) for the IECEE CTF Program).



## **8 Fees**

A fee, the amount to be decided by the CMC, shall be remitted to the IECEE account by the applicant NCB or CBTL for each new request for acceptance or for extension of scope of existing acceptance.

## Annex A

### Controlled List of testing and evaluations carried out by a Specialized Testing Laboratory (SPTL)

#### ~~• Extra-large environmental testing chambers~~

- Electromagnetic testing facilities and equipment
- IP testing equipment
- Mechanical testing equipment (i.e. vibration, extensive impact)
- Corrosion testing equipment
- X-Radiation, microwave and Ultraviolet (UV) measuring equipment
- Ultrasonic and sound pressure level measuring equipment
- Laser measuring equipment

#### ~~• High capacity short-circuit testing equipment~~

- Resistance to heat and fire testing equipment
- Thermoplastics testing equipment (i.e. short-term property evaluations, long-term property evaluations, polymeric materials used in electrical equipment evaluations, industrial laminates, vulcanized fiber, materials used for printed wiring boards, filament wound tubing, flexible dielectric film materials, flammability, tracking, hot-wire ignition)
- High-vacuum devices testing equipment (e.g. IEC 60065)
- Functional Safety (Software) Evaluation
- Transient Overvoltage Test

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