IECEE OPERATIONAL DOCUMENT

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

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

<table>
<thead>
<tr>
<th>Revision Date</th>
<th>Brief summary of changes</th>
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<tbody>
<tr>
<td>2017-05-17</td>
<td>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</td>
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<tr>
<td>2016-06-01</td>
<td>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</td>
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<tr>
<td>2018-02-08</td>
<td>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), 5.1 d), 5.14, 5.16 (addition), 6.3 and Annex A</td>
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<td>2019-03-07</td>
<td>The following sub-clauses were changed: 2 per Decision 19/2018, 5.1 per Decision 21/2018, Clauses 6.1.5-6.1.8 &amp; Annex A per Decision 63/2018</td>
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<tr>
<td>2020-02-02</td>
<td>Revision to Clause 5.14 per PAC Decision 06/2020 and Annex A per Decision 30/2020.</td>
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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

Refer to Clause 5 of IEC CA 01 Basic Rules and IECEE 01-S IECEE Supplement to IEC CA 01.

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 marketplace. 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 (IEC EE 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 fulfils 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 6 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 3.2.5 and under the following conditions:

a) the NCB shall 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/SPTL accepted by the IECEE according to Clause 5 of these Rules for the relevant product standards; The NCB shall ensure that it is in full control of its CBTLs/SPTLs and that they remain qualified as long as they stay in operation;

The responsible NCB shall physically on-site audit its CBTLs/SPTLs 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. The records of such on-site audits shall be under documented control procedures and available at the NCB/CBTL/SPTL locations.

The NCB may appoint CBTLs or other resources to conduct some of their duties such as auditing and training of the CBTL/SPTL, but the NCB remains the responsible party.

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 ISO/IEC 17065 shall be taken into consideration. Accreditation, if any, shall be taken into account when made by a recognized national accreditation body.

f) for initial assessments and scope extensions, experience is considered sufficient when, within the last 3 (three) years, at least 10 Certificates have been issued for the product category. 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.

In the case of CYBR, experience is determined based on the assessment of staff and not issued Certificates.

g) for re-assessments, a minimum of 1 certificate issued within the last 3 years is considered sufficient experience for each standard selected.
For CYBR, if the recognized scope is not fully covered by completed certificate(s):

1) A case study is prepared by the assessment team in advance of the assessment and is presented to the assessed organization at the beginning of the assessment. The option of utilizing a case study can only be exercised during the first reassessment after the scope was granted.

2) The assessment will then focus on discussion of the case study with the assessed organization’s experts.

h) 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 6.2 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 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.

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

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

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
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.

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.

3.2.6 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.

3.2.7 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.

4 VOID

5 CB and Specialized 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/SPTL 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/SPTL 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/SPTL 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.

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.

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.

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.

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.

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

b) A CBTL/SPTL shall not be, or be influenced by, a body which manufactures or trades in electrotechnical equipment and components. Furthermore, the CBTL/SPTL 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) For initial assessments and scope extensions, experience is considered sufficient when, within the last 3 (three) years, at least 10 Test Reports have been issued for the product category. 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/SPTL 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/SPTL. This would also apply to scope extension applications.

In the case of CYBR, experience is determined based on the assessment of staff and not Test Reports. Scope of application and acceptance is based on the declared capability in the specific standards in scope.

e) For re-assessments, a minimum of 1 test report issued within the last 3 years is considered sufficient experience for each standard selected.

In the case of CYBR, a minimum of one (1) project for each of the standards in its scope covering at least 3 functional areas (i.e. a single or multiple projects covering all functional areas in scope) is considered sufficient experience for each standard selected unless:

1) If no CYBR project is completed or if the recognized scope is not fully covered by the completed project(s):

   a) A case study is prepared by the assessment team in advance of the assessment and is presented to the assessed organization at the beginning of the assessment. The option of utilizing a case study can only be exercised during the first reassessment after the scope was granted.

   b) The "technical assessment" will then focus on discussion of the case study with the assessed organization’s experts.

5.2 An application for the acceptance of a laboratory as a CBTL/SPTL 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.

Disclaimer: This document is controlled and has been released electronically. Only the version on the IECEE Website is the current document version.
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 or Specialized 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/SPTL 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/SPTL may be suspended or withdrawn by the CMC, on recommendation of the Secretary of the IECEE, if the laboratory no longer fulfills 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 It is the responsibility of each CBTL and SPTL in the IECEE to perform internal audits on an annual basis to the requirements of ISO/IEC 17025 and all relevant Operational Documents (ODs) of the IECEE CB Scheme. The audits shall cover the technical scope and
the quality management system over a period of not more than 3 years. The records of such on-site audits shall be under document control procedures and available at the laboratory locations.

5.15 CBTLs/SPTLs 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.

5.17 A SPTL can cover the tests in the “Controlled List” in Annex A which are designated as “SP” in the CTL Test Equipment Lists.

Note: For CTL Test Equipment Lists which do not include reference to “SP”, the SPTL can perform tests listed in Annex A for which the test equipment list shows “R”.

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.

5.18 Only the CBTL is entitled to issue a CB Test Report.

Where an SPTL carries out some of the testing program and prepares a draft CB Test Report for reviewing by the CBTL, the CB Test Report shall carry the signature of both, the SPTL and of the issuing CBTL.

5.19 The SPTL shall ensure 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.

6. VOID

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)

- 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
- Battery / Battery Charger Combinations
- 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)
- Full Functional Safety Evaluation
- Functional Safety (Software) Evaluation
- Transient Overvoltage Test