

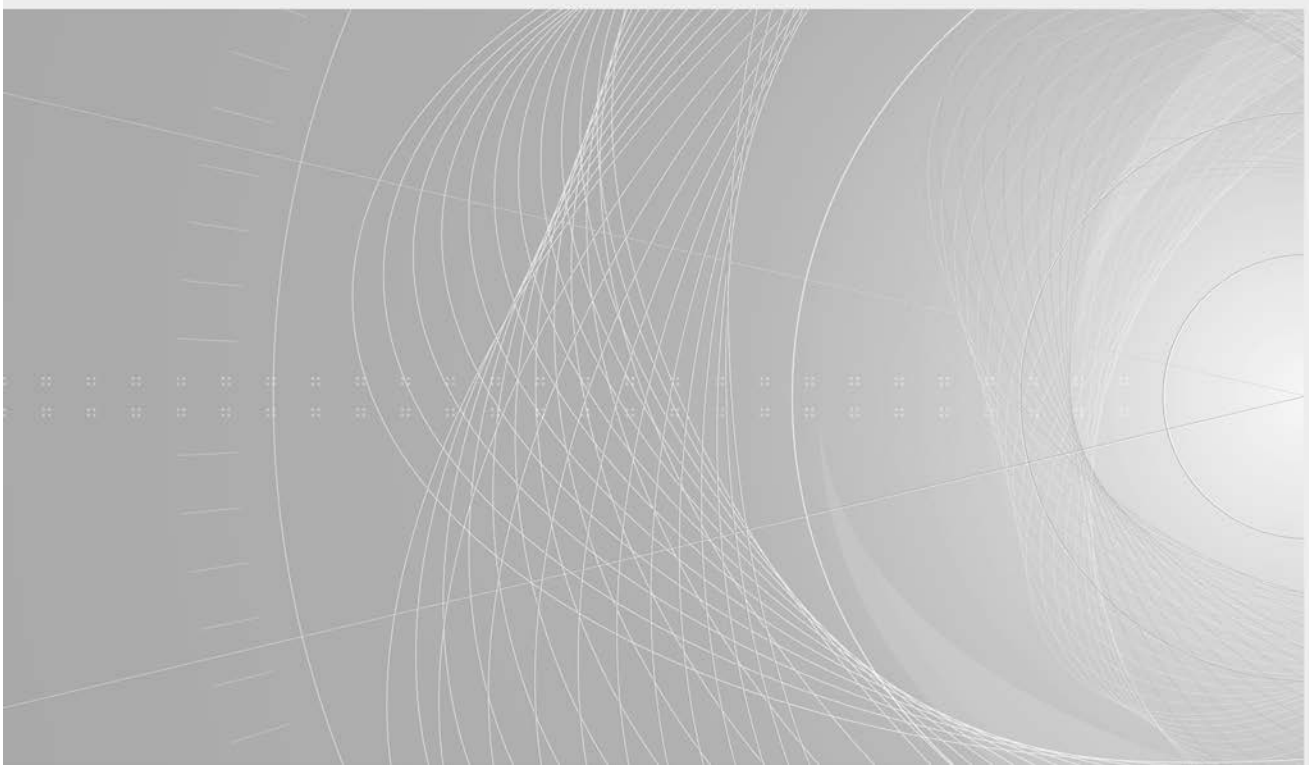


# **IECEE PUBLICATIONS**

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

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**Peer Assessment Programme**





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**IECEE 02-3**

Edition 4.0 2016-06-01

# **IECEE PUBLICATIONS**

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

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**Peer Assessment Programme**

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

## Peer Assessment Programme

### 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.

It cancels and replaces Publication IECEE 02-3, Third edition, 2015-06.

Each of the annexes to this publication is normative.

The text of the amendments of this edition (IECEE 02-3 Fourth edition 2016-06) is based on the following Document.

Document	Report on voting
IECEE-CMC/1753A/RM	CMC Decisions

#### Document Owner

CMC WG 10 “ Maintenance of the IECEE Rules and Operational Documents”

#### History of changes

Date	Brief summary of changes
2016-06-01	<p>The following sub-clauses were updated mainly due to the inclusion of factory surveillance: 1.2.1 and previous items 4.1, 4.2, 5.1, 5.2.5, 6.2, 7, 8.1, 8.3, 8.4, 9.1, 9.2, 9.3, 10 (numbering changed in this document following deletion of clause 3)</p> <p>The following clauses were deleted, as content is covered by OD-2006 Edition 4.0: 3.</p>

Effective date	Target revision date
2016-06-01	2019-06-01

## 1. Scope

This publication contains the Particular Rules of Procedure of the IECEE pertaining to the Peer Assessment Programme.

Further details of the Peer Assessment Programme procedures are contained in IECEE Operational Documents OD-2006 (Guidelines and Information for IECEE Assessments: Procedures and Documentation) and OD-2007 (Documentation for Applications).

## 2. Initial assessment of Issuing and Recognizing NCBs

**2.1** The candidate Issuing and Recognizing NCB shall be assessed by experts appointed by the Secretary of the IECEE with a task of determining whether the membership conditions defined in IECEE 02-2 are fulfilled. These assessors shall normally be recruited from Issuing and Recognizing NCBs.

The size and composition of the assessment team is assembled such that the combined expertise is representative to fully cover the product categories within the assessment scope and as outlined in OD-2006, Guidelines and Information for IECEE Assessments: Procedures and Documentation.

When a testing laboratory is to be assessed on the same occasion, a combined assessment team may be appointed.

The candidate NCB shall be given the names and qualifications of the assessors proposed to be appointed by the Secretary of the IECEE. Candidates may object “for cause” (reasons to be stated) to the appointment of the assessors. The mandate given to the assessors shall be clearly defined and made known to the candidate. The mandate shall include critical assessment of any national differences from IEC standards.

The NCB to be assessed shall express its willingness to pay the travelling and living expenses and other applicable fees arising from the assessment. An estimate of these expenses and fees shall be provided to the candidate NCB in advance by the assessors and agreed to by the candidate NCB.

During the assessment visit, the assessors shall prepare a draft report which shall be discussed with the management of the candidate NCB. Efforts should be made to resolve any differences of opinion between the assessors and the NCB during the discussion of those reports.

**2.2** The assessors shall submit to the Secretary of the IECEE, with a copy to the representatives of the candidate NCB, a confidential Assessment Report containing their findings and recommendations, taking into account the declaration submitted together with the application. Representatives of the candidate NCB may be invited to a meeting for discussion of its application, to respond to inquiries.

**2.3** The “Open Part” of the Assessment Report is posted on the dedicated restricted area of the IECEE Web Site for the IECEE Member’s review and submit their comments on the Assessment Report to the IECEE Secretary within one month of the date of posting on the Web Site.

Thereafter, the Secretary will notify the candidate on the outcome whilst awaiting formal decision by the CMC at its next regularly scheduled meeting.

Note: The “Open Part” of the Assessment Report is composed of the Assessment Report, Annexes 1, 2 and 3 and the Non-Conformance sheets.

## 3. Initial assessment of CBTLs, SPTLs and FSBs

**3.1** The candidate testing laboratory / surveillance body shall be assessed experts appointed by the Secretary of the IECEE with a task of determining whether the membership conditions defined in IECEE 02-2 are fulfilled. These assessors shall normally be recruited from Issuing and Recognizing NCBs, CBTLs and FSBs. For FSB assessments at least one member shall be qualified as Factory Surveillance Assessor.

The size and composition of the assessment team is assembled such that the combined expertise is representative to fully cover the product categories within the assessment scope

and as outlined in OD-2006, Guidelines and Information for IECEE Assessments: Procedures and Documentation. When a laboratory / surveillance body is a part of the NCB organization, such as a department or a division, and is at the same location as the NCB, and it is to be assessed on the same occasion as the candidate NCB, a combined assessment team may be appointed.

A designated representative of the responsible NCB shall always be present during the initial assessments and re-assessments of the CBTLs / FSBs for which the NCB is responsible. When the CBTL / FSB is operating with more than one NCB, unless otherwise agreed between the NCBs and accepted by the IECEE Secretary, each responsible NCB shall delegate one representative to be present during the relevant assessments and re-assessments.

For the assessment and reassessments of SPTLs, the presence of a representative of the NCB, or the Supervising CBTL is required. For follow-up assessments of CBTLs and SPTLs, in special cases, the Lead Assessor in consultation with the IECEE Executive Secretary may request the presence of the NCB representative.

For annual Quality Management System reassessments, a NCB representative does not need to be present for the on-site assessment, since the Quality Manager must be present.

In case of a cancellation of an assessment as a result of a NCB, CBTL or FSB representative not being present, the responsible NCB is required to pay for the changes in the travel arrangements. In addition, such infringement will result in a financial penalty, the extent of which will be determined by the Officers, taking into account circumstances and justifications provided.

The candidate shall be given the names and qualifications of the assessors proposed to be appointed by the Secretary of the IECEE. Candidates may object “for cause” (reasons to be stated) to the appointment of the assessors. The mandate given to the assessors shall be clearly defined and made known to the candidate.

The laboratory / surveillance body to be assessed shall express its willingness to pay the travelling and living expenses and other applicable fees arising from the assessment. An estimate of these expenses shall be provided to the candidate laboratory / surveillance body in advance by the assessors and agreed to by the candidate laboratory / surveillance body.

During the assessment visit, the assessors shall prepare a draft report which shall be discussed with the management of the candidate testing laboratory / surveillance body. If requested in the application, another draft report shall also be prepared on a preliminary assessment covering additional products or standards, pending formal application for an extension of acceptance to be submitted.

**3.2** The assessors shall submit to the Secretary of the IECEE, with a copy to the representatives of the candidate testing laboratory / surveillance body, a confidential report containing their findings and recommendations, taking into account the declaration submitted together with the application. Representatives of the candidate testing laboratory / surveillance body may be invited to a meeting for discussion of its application, to respond to inquiries.

**3.3** The “Open Part” of the Assessment Report is posted on the dedicated restricted area of the IECEE Web Site for the IECEE Member’s review and submit their comments on the Assessment Report to the IECEE Secretary within one month of the date of posting on the Web Site.

Thereafter, the Secretary will notify the candidate on the outcome whilst awaiting formal decision by the CMC at its next regularly scheduled meeting.

Note: The “Open Part” of the Assessment Report is composed of the Assessment Report, Annexes 1, 2 and 3 and the Non-Conformance sheets.

## **4. Specialized Testing Laboratory (SPTL)**

### **4.1 Qualification by the Responsible NCB**

**4.1.1** The Responsible NCB shall initiate the evaluation of the SPTL arrangement.

**4.1.2** The evaluation process shall include the following:

- Initial evaluation of the Quality System and Procedures employed by the SPTL.
- Initial evaluation of the general competence of the SPTL.
- Review of any previous recommendations made by the CBTL of the responsible NCB relating to the competence and capabilities of the SPTL to carry out tests within the requested technical scope.

**4.1.3** If as a result of the NCB's assessment, any additional training of the technical staff at the SPTL is necessary, the NCB shall arrange for the training and monitor the results of the training.

## **4.2 IECEE Initial and On-going Peer Assessments of SPTLs**

**4.2.1** SPTLs shall be subjected to the same assessment and acceptance process as CBTLs.

**4.2.2** The technical competence of the candidate SPTL to carry out testing activities is checked according to ISO/IEC 17025, all relevant Operational Documents (ODs) of the IECEE CB Scheme and the relevant IEC technical Standards, or parts thereof, for which the SPTL is seeking acceptance.

**4.2.3** All parties responsible for managing, controlling and coordinating the activities of the SPTL shall be assessed as appropriate and necessary.

**4.2.4** The Assessment Team shall review and accept the relevant procedures implemented by the NCB and/or its Supervising CBTL, if appointed, for the oversight and control of the SPTL.

**4.2.5** The assessment time frame, the size and composition of the Assessment Team will generally be determined by following the guidelines for assessment of CBTLs, as provided in OD-2006.

**4.2.6** During the initial and on-going assessments of a SPTL, a full SPTL matrix/listing of services provided to all of its CBTLs shall be made available to the assessment team. The assessment team shall verify that the Specialized Facility has the full capability required to provide all the services to its CBTLs as reported in the SPTL matrix.

**4.2.7** Upon successful completion of the IECEE Peer Assessment, a SPTL is registered as an accepted SPTL for the relevant limited technical scope of individual tests, as per Annex A of IECEE 02-2, under the responsibility of its NCB.

## **5. Supervision and Monitoring of LTR Operations**

### **5.1 Samples for Examination**

The NCB shall be entitled to request, as appropriate, an actual product sample for examination as part of on-going audit/review/oversight process of the test reports completed by the LTR.

### **5.2 On-Site Supervision at the Customers' Testing Facility (CTF)**

On at least an annual basis, the NCB is responsible to carry out some CTF Stages 1, 2, 3 or 4 programme activities together with the "LTR".

This responsibility may be delegated to a CBTL by the NCB.

To demonstrate competency for Stage 1 and/or Stage 2 either Stage 1 or Stage 2 auditing is acceptable as appropriate. Similarly to demonstrate competency for Stage 3 and/or Stage 4 either Stage 3 or Stage 4 auditing is acceptable as appropriate.

## **6. Fees**

Fees pertaining to assessments are specified in OD-2026.

## **7. Peer Assessment Programme Process**

### **7.1 Applications**

- Applications for new Recognizing NCBs



- Applications for new Issuing and Recognizing NCBs and their associated CBTLs and SPTLs / FSBs
- Applications for new CBTLs/SPTLs/FSBs with an existing responsible Issuing and Recognizing NCB
- Applications for scope extensions of NCBs and their associated CBTLs and SPTLs.
- Applications for scope extensions of CBTLs and SPTLs with an existing responsible Issuing and Recognizing NCB
- Applications for NCBs, CBTLs and SPTLs relocation assessments

These above-mentioned applications shall be submitted to the Secretary of the IECEE in accordance with OD-2007.

Note: No NCB/CBTL/SPTL application is needed for re-assessment and QMS assessment; the NCB/CBTL/SPTL needs to provide to the IECEE Secretariat the relevant documentation - according to OD-2007.

The application shall be made by the NCB, via the Member Body of the IECEE in the country where the NCB is located or by the NCB directly with copy to the Member Body as stated in OD-2007.

## **7.2 Review of the application files**

Reviewing of the Application is made by the IECEE Secretariat in accordance with the present Rules of Procedure and based on the content of OD-2007.

## **7.3 Appointment of the assessment team**

The appointment of the Assessment Team is made by the Secretary of the IECEE.

The size and composition of the assessment team is assembled as outlined in OD-2006, Guidelines and Information for IECEE Assessments: Procedures and Documentation such that the combined expertise is representative to cover a sampling of major testing activities and other selected testing that is indicative of competence.

For a scope extension requiring an on-site assessment, the assessment team may need to be expanded to include additional technical assessors(s) with appropriate expertise to cover the requested scope.

In case where a new product category within the IECEE system has been provisionally granted, the subsequent assessment may also require additional specialized expertise and the inclusion of an additional technical assessor.

## **7.4 Reviewing of the assessment reports**

The Lead Assessor sends signed Assessment Reports and associated annexes to the IECEE Secretariat in accordance with the present Rules of Procedure.

The IECEE Secretariat makes a preliminary review to make sure that the necessary elements and information are contained with the Assessment Report.

The IECEE Secretariat then:

- Makes the Assessment Report available on the IECEE Web Site for comments by the IECEE Members.
- For assessment reports prepared by experienced Lead Assessors, randomly selects assessment reports (25%) and assigns the Technical Reviewers from the current list of Registered Lead Assessors, Technical Assessors and Factory Surveillance Assessors.
- For assessment reports prepared by new Lead Assessors assigns Technical Reviewers from the current list of Registered Lead Assessors.
- Coordinates the distribution of the comments received from the Technical Reviewers and the IECEE Members (if determined relevant) to the Lead Assessor for resolution and until clearance is reached by the concerned parties. The Lead Assessor provides final clearance of outstanding comments and non-conformities to the IECEE Secretariat.

- Issues GNCRs if additional non-conformities identified from received comments and they are not covered by the NCRs issued by the assessment team, and co-ordinates the clearance of such GNCRs as appropriate.
- Notifies provisional acceptance to the assessed organization in accordance with the relevant procedure if all conditions are met.

In case of any disagreement between the parties (Assessed Organization, Lead Assessor, Technical Reviewers and IECEE Members), the arbitration is provided by the Executive Secretary of the IECEE who when deemed necessary will seek advice from:

- The IECEE Officers for policy issues;
- The Chair's Committee for matters of principle, practice and procedure or interpretation of the Basic Rules, Rules of Procedure, and Operational Documents.
- The Peer Assessment Committee for matters pertaining to the terms of reference of the latter.
- The Committee of Testing Laboratories for specific technical matters related to testing, i.e. Testing/Measuring Equipment, measurement uncertainty, subcontracting, etc.

### **7.5 Recommendation to the CMC for approval**

When the process has been successfully completed and documented accordingly, the IECEE Secretariat will report the acceptance recommendations of the PAC to the IECEE CMC for approval.

## **8. Technical assessors / Factory Surveillance Assessors**

### **8.1 Registration of Technical Assessors / Factory Surveillance Assessors**

Technical assessors / Factory Surveillance Assessors are nominated by the responsible NCB through the submission of the Technical assessor / Factory Surveillance Assessors Questionnaire along with an electronic format passport sized photograph of the nominee to the IECEE Secretariat.

Provided that the nomination is accepted, the IECEE Secretariat will then provide the relevant Technical assessor / Factory Surveillance Assessors with access codes to the restricted Technical Assessor area of the website.

The responsible NCB is responsible to train the Technical assessor / Factory Surveillance Assessors on IECEE issues and the procedures related to the Peer Assessment programme, including issues of confidentiality.

It is the responsibility of the NCB to provide updates related to Technical assessors / Factory Surveillance Assessors to the IECEE Secretariat.

### **8.2 Training Courses**

Technical assessors may be assigned to complete on-site assessments in advance of attending an IECEE technical assessor training course in their capacity as an expert for the specific declared Product Categories.

However, it is an obligation for a technical assessor / Factory Surveillance Assessors to attend a training course at least once every three years.

If a technical assessor is not able to attend the course they must attend the training course the next year regardless of the region where the training course is held. If a technical assessor does not attend the next year training course, unless properly justified, he will be removed from the list of registered assessors.

### **8.3 Peer Assessment Assignment**

The IECEE Secretariat will advise the Technical assessor / Factory Surveillance Assessors of their assignment with a copy to the responsible NCB contact.

If a technical assessor / Factory Surveillance Assessors does not accept to take on an assignment two times consecutively, unless properly justified, he will be removed from the list of registered assessors after consultation with the responsible organisation.

## 9. Reviewer's task and terms of reference

In addition to the comments/queries that could be sent/asked by the IECEE Members, for the sake of transparency the IECEE Secretariat appoints 2 Technical Reviewers from the list of registered Lead and Technical Assessors / Factory Surveillance Assessors with the task to review the Assessment Reports.

The assigned Technical Reviewers will be given access to the related application documentation batch and the Assessment Report.

Appointed Reviewers are requested to address issues that might, after inquiry, clarify missing or not exhaustive information from the Assessment Reports.

Prior sending the comments to the IECEE Secretariat, the Reviewers should consult and agree on one set of comments.

**9.1** The comments/queries made by the appointed Reviewers shall be:

- Sent to the IECEE Secretariat
- Impartial
- Based on facts and or objective evidence (no assumption)
- Constructive
- Not jeopardise the role and credibility of the Lead Assessor & Assessment Team

**9.2** Upon receipt of the comments/queries, the IECEE Secretariat will consider their validity and forward it to the Lead Assessor.

**9.3** Lead Assessor will review the comments and reply to the Reviewer(s) (eventually after consultation with the assessed organisation) with copy to the IECEE Secretariat.

**9.4** Lead Assessor to clarify the raised comments and agree with the Reviewer(s) and provide the IECEE Secretariat with its clearance.

**9.5** Both the Lead Assessor and the Reviewers shall clearly indicate clearance of the comments raised by ticking the appropriate box in the Reviewer's Comments Form within maximum one month from the distribution of the comments by the IECEE Secretariat.

**9.6** In case of disagreement between the Lead Assessor and the Reviewer(s) to reach clearance on the comments raised by the Reviewers, the matter will be handled under the IECEE Secretariat's arbitration.

**9.7** Comments made by the IECEE Members as free Reviewers will also be handled under this procedure.

## 10. Deadlines and applicable penalties

Deadline and penalties in case of outstanding clearance of non-conformities raised during the on-site assessments/re-assessments

<b>NCB/CBTL/FSB</b>	<b>ALLOWED DEADLINE</b>	<b>PENALTY(IES)</b>
Initial Assessment	9 months from the last day of the assessment, unless otherwise notified by the Secretariat	Acceptance process stopped. A new application is necessary including application fees
Follow up First Assessment	6 months from the last day of the assessment, unless otherwise notified by the Secretariat	Acceptance process stopped A new application is necessary including application fees
Scope Extension Assessment	9 months from the last day of the assessment, unless otherwise notified by the Secretariat	Acceptance process stopped A new application is necessary including application fees

NCB/CBTL/FSB	ALLOWED DEADLINE	PENALTY(IES)
Re-Assessment / QMS Assessment	4 months from the last day of the assessment, unless otherwise notified by the Secretariat. After the 4 months deadline an exceptional extension for 2 months can only be granted at the discretion of the Secretariat based upon the progress evidenced to resolve the outstanding NCRs. In the case that a scope extension is carried out at the same time as the re-assessment, 9 months may be granted to clear NCRs on request of the assessed organization's and based on the Lead Assessor's recommendation.	a) Suspension of standard(s), product category(ies) from the scope for 12 months after which b) applies.  b) Withdrawal of standard(s), product category(ies) from the scope Note: To reinstate the withdrawn standard(s), product category(ies) a new application is necessary including application fees or c) Cancellation of Acceptance Note: A new application is necessary including application fees
Re-location Assessment	4 months from the last day of the assessment, an exceptional extension for 2 months can only be granted at the discretion of the Secretariat based upon the progress evidenced to resolve the outstanding NCRs.	Cancellation of Acceptance Note: A new application is necessary including application fees.
Root Causes & Proposed corrective actions to NCRs raised during an on-site assessment	1 month from the last day of the assessment,, unless otherwise notified by the Secretariat	Root causes & proposed corrective action must be provided in any case or else the relevant NCR will lead to:  a) the withdrawal of the relevant standard(s) for re-assessment  b) rejection of acceptance of the relevant standard(s) for initial/scope extension assessment.
Follow-up Re-Assessment	4 months from the last day of the assessment,, unless otherwise notified by the Secretariat. After the 4 months deadline an exceptional extension for 2 months can only be granted at the discretion of the Secretariat based upon the progress evidenced to resolve the outstanding NCRs.	a) Suspension of standard(s), product category(ies) from the scope for 12 months after which b) applies.  b) Withdrawal of standard(s), product category(ies) from the scope Note: To reinstate the withdrawn standard(s), product category(ies) a new application is necessary including application fees or c) Cancellation of Acceptance Note: A new application is necessary including application fees
Technical Review of Test Reports	1 year from the notification as provided by the	a) Suspension of standard(s), product category(ies) from the scope for 12

NCB/CBTL/FSB	ALLOWED DEADLINE	PENALTY(IES)
	Secretariat	<p>months after which b) applies.</p> <p>b) Withdrawal of standard(s), product category(ies) from the scope</p> <p>Note: To reinstate the withdrawn standard(s), product category(ies) a new application is necessary including application fees</p> <p>or</p> <p>c) Cancellation of Acceptance</p> <p>Note: A new application is necessary including application fees</p>
Training Program	9 months from the notification as provided by the Secretariat	<p>a) Suspension of standard(s), product category(ies) from the scope for 12 months after which b) applies.</p> <p>b) Withdrawal of standard(s), product category(ies) from the scope</p> <p>Note: To reinstate the withdrawn standard(s), product category(ies) a new application is necessary including application fees</p> <p>or</p> <p>c) Cancellation of Acceptance</p> <p>Note: A new application is necessary including application fees</p>
Organizations delaying the on-site re-assessments	6 months after the calendar year for which the organization was due for re-assessment	<p>a) Suspension of standard(s), product category(ies) from the scope for 12 months after which b) applies.</p> <p>b) Withdrawal of standard(s), product category(ies) from the scope</p> <p>Note: To reinstate the withdrawn standard(s), product category(ies) a new application is necessary including application fees</p> <p>or</p> <p>c) Cancellation of Acceptance</p> <p>Note: A new application is necessary including application fees</p>

NCB/CBTL/FSB	ALLOWED DEADLINE	PENALTY(IES)
General Non-Conformity Reports	Determined on a case by case basis by the IECEE Secretariat	a) Proposal of Suspension to operate as Issuing Body for the NCB  and/or b) Proposal of Suspension to operate as Registered CBTL.  Note: To be reinstated a new application is necessary including application fees  In the case of a GNCR issued due to failure to resolve a PTP related GNCR within the set deadline, the CBTL/CTF concerned is suspended automatically and effective immediately. A CBTL and CTF Stage 4 can only be re-instated after a full on-site assessment, subject to normal application fees and assessment fees. A CTF stage 3 can only be re-instated after a full on-site assessment under the responsibility by the NCB.

Notes:

- During the suspension the relevant NCB may continue to operate as Recognizing
- For NCRs that are challenged by the assessed organization and/or submitted to the IECEE-PAC and accepted by the IECEE Executive Secretary, the deadline starts from the date of the notification letter sent by the IECEE Secretariat.
- For specific issues that are examined by the IECEE-PAC on request from the Lead Assessor, the Assessed Organization, the Reviewers and accepted by the IECEE Executive Secretary the deadline starts from the date of the notification letter sent by the IECEE Secretariat.



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