

# IECEE PUBLICATION

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

Rules of Procedure – **CB Scheme**

**~~Part I: Scheme of the IECEE for Mutual Recognition of Test Certificates for Electrotechnical Equipment and Components (CB Scheme)~~**

**~~Part II: Scheme of the IECEE for Mutual Recognition of Conformity Assessment Certificates for Electrotechnical Equipment and Components (CB FCS Scheme)~~**





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**~~Part II: Scheme of the IECEE for Mutual Recognition of Conformity Assessment Certificates for Electrotechnical Equipment and Components (CB-FCS Scheme)~~**

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INTERNATIONAL ELECTROTECHNICAL COMMISSION

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

**Rules of Procedure –**

**Part I: CB Scheme**

FOREWORD

This publication governs the Certification Body Scheme of the IECEE for testing and certification of electrotechnical equipment and components which includes appliances, systems, industrial and household equipment and sub-assemblies (CB Scheme).

This ~~sixteenth~~ ~~fifteenth~~ edition of IECEE 02 cancels and replaces the ~~fifteenth-thirteenth~~ edition published in 2015~~2~~. Part II of the fifteenth edition (Scheme of the IECEE for Mutual Recognition of Conformity Assessment Certificates for Electrotechnical Equipment and Components (CB FCS Scheme)) was removed and transferred to IECEE 03.

This publication is directly related to Publication IECEE 01 containing the Basic Rules of the IECEE.

The annexe to this publication is normative.

The text of this publication is based on the following document.

Document	Report on voting
IECEE-CMC/ <del>XXXX1753A1642</del> /RM	CMC Decision

Full information on the approval of this publication can be found in the Minutes of the CMC meeting held in Oslo on June 01/02, 2016~~XX in Dubai on June 03/04, 2015.~~

**Document Owner**

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

**History of changes**

<u>Date</u>	<u>Brief summary of changes</u>
<u>2016-06-01</u>	<u>The following sub-clauses were modified: 3.2.4, 3.3.4, 4.1.5</u> <u>Part II was transferred to IECEE 03, Edition 6.0</u>

<u>Effective date</u>	<u>Target revision date</u>
<u>2016-06-01</u>	<u>2019-06-01</u>

## INTRODUCTION

Note This introduction provides an overview of the CB Scheme and is not part of the Rules.

In recognition of the need to facilitate international trade in electrotechnical equipment, and components primarily intended for use in homes, offices, workshops healthcare facilities and similar locations, for benefit of consumers, industries, authorities etc, and to provide convenience for manufacturers and other users of the services provided by various National Certification Bodies (NCBs), an international Scheme is operated by the IECEE (IEC System for Conformity Testing and Certification of Electrotechnical Equipment and Components), known as the CB Scheme. The Scheme is based on the principle of mutual recognition (reciprocal acceptance) by its members of test results for obtaining certification or approval at national level.

The Scheme is intended to reduce obstacles to international trade which arise from having to meet different national certification or approval criteria. Participation of the various NCBs within the Scheme is intended to facilitate certification or approval according to IEC standards. Where national standards are not yet completely based on IEC standards, declared national differences will be taken into account; however, successful operation of the Scheme presupposes that national standards are reasonably harmonized with the corresponding IEC standards. Use of the Scheme to its fullest extent will promote the exchange of information necessary in assisting manufacturers around the world to obtain certification or approval at national level.

The operating units of the Scheme are the NCBs accepted according to these Rules. Those NCBs employ testing laboratories also accepted according to the Rules, known as CB Testing Laboratories (CBTLs). A list of NCBs is published in the CB Bulletin.

The CB Scheme is based on the use of CB Test Certificates which provide evidence that representative specimens of the product have successfully passed tests to show compliance with the requirements of the relevant IEC standard. A supplementary report providing evidence of compliance with declared national differences in order to obtain national certification or approval may also be attached to the CB Test Report.

The first step for an NCB, intending to operate in the CB Scheme, is to be accepted as a Recognizing NCB. Such an NCB is prepared to recognize CB Test Certificates as a basis for certification or approval at national level for one or more categories of products

The second step for an NCB, which can be taken at the same time as the first step, is to be accepted as an Issuing and Recognizing NCB. Such an NCB is entitled to issue CB Test Certificates for the categories of equipment for which it recognizes CB Test Certificates. It should, however, be noted that an NCB may recognize CB Test Certificates for more categories of equipment than for which it is entitled to issue CB Test Certificates.

The Rules are formulated in such a way as to make them applicable in different national certification structures.

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

## Rules of Procedure –

### Part I: CB Scheme

## 1 Scope

This publication contains the Rules of Procedure of the IECEE CB Scheme for Mutual Recognition of Test Certificates for Electrotechnical Equipment and Components (CB Scheme).

The CB Scheme is applicable to Electrotechnical Equipment and Components primarily intended for use in homes, offices, workshops, healthcare facilities and similar locations.

## 2 Normative references

The following publications contain provisions which, through reference in this text, constitute provisions of these Rules of Procedure. At the time of publication, the editions indicated were valid. The IECEE Certification Management Committee (CMC) shall decide the timetable for the introduction of new publications or revised editions of existing publications.

IECEE Definitions

IECEE 01: ~~Fifteenth—Fourteenth~~ edition ~~2015-10~~~~2014-11~~, *IEC System of Conformity Assessment Schemes for Electrotechnical Equipment and Components (IECEE)*

ISO/IEC Guide 2: 2004, *Standardization and related activities – General vocabulary*.

ISO/IEC 17000: 2004 *Conformity assessment – Vocabulary and general principles*

ISO/IEC 17025: 2005, *General requirements for the competence of calibration and testing laboratories*.

ISO/IEC 17040: 2005 *Conformity assessment – General requirements for peer assessment of conformity assessment bodies and accreditation*

ISO/IEC 17065: 2012, *Conformity assessment - Requirements for bodies certifying products, processes and services*.

ISO/IEC 17067: 2013, *Conformity assessment – Fundamentals of product certification and guidelines for product certification schemes*.

## 3 Rules

### 3.1 General

**3.1.1** The *IEC System of Conformity Assessment Schemes for Electrotechnical Equipment and Components (IECEE)* operates a scheme with the aim of facilitating international trade by promoting and simplifying certification and approval at national level through mutual recognition of test results. CB Test Certificates according to 3.2.1 are used as the means for mutual recognition of test results.

**3.1.2** The Scheme is called “IECEE CB Scheme for Mutual Recognition of Test Certificates for Electrotechnical Equipment and Components”, hereinafter referred to as “the CB Scheme”.



**3.1.3** The CB Scheme shall be governed by the CMC, whose responsibilities in this respect are defined in the Basic Rules of the IECEE, as given in Publication IECEE 01.

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## **3.2 CB Test Certificates**

**3.2.1** A CB Test Certificate is a document issued by an Issuing and Recognizing NCB to inform other NCBs, in conjunction with the attached CB Test Report, that one or more specimens of certain electrical products were fully tested according to the relevant requirements of one or more standard(s) applicable to the electrical products accepted for use in the IECEE, unless otherwise permitted by the relevant standard(s) and that the specimens were found to be in conformity with that (those) standard(s). A CB Test Certificate is valid only when the IECEE documented CB Test Report (in agreed harmonised form) is attached. The CB Test Report will fully and completely cover the applicable and relevant test results according to the requirements of the standard(s), and when requested also according to declared national differences.

**3.2.2** The CMC shall decide on the layout and content of CB Test Certificates. The CB Test Certificate shall always contain a clear description of the product, the name and address of the applicant, manufacturer and factory or factories (see definitions) and the edition of the IEC standard, and amendments, if any.

The CB Test Certificate shall be signed by authorized person(s) operating within the Certification department of the responsible NCB.

The name(s) and signature(s) of the authorized person(s) shall clearly appear on the CB Test Certificate and the names shall be declared to the IECEE Secretariat and listed in the Quality Procedure used by the NCB to process the CB Scheme.

A Test Report shall be attached to each CB Test Certificate giving, as far as necessary, for each clause of the relevant standard a brief reference to the requirements, and the results of tests and examinations. The Test Report shall also contain the information necessary for identification of the product, such as type designation, ratings, description and photographs.

**3.2.3** CB Test Certificates shall not be used in any form of advertising or sales promotion.

Note This subclause does not preclude the holder of a CB Test Certificate from making reference to the existence of that Certificate in business correspondence related to equipment for which a CB Test Certificate has been issued.

**3.2.4** Amending CB Test Certificates and Test Reports due to typographical errors, addresses and other similar changes, as well as, due to technical modifications to products declared in valid CB Test Certificates and CB Test Report is allowed in accordance with OD-2037 and OD 2020.

~~Modifications to products declared in a valid CB Test Certificate are limited to three, after which a new CB Test Certificate shall be issued and a new surcharge levied if applicable. This shall not preclude issuing a new CB Test Certificate at every modification if the Issuing NCB wishes to do so.~~

~~When a product is subject to "Modifications" regardless of the suffix used to identify the CB Test Certificate, i.e. the letter "M" followed by 1, 2 or 3, the CB Test Certificate shall clearly identify the nature of such "Modifications" under "Additional Information".~~

~~A re-issued CB Test Certificate shall include the original issue date and revision date under "Additional Information".~~

**3.2.5** A CB Test Certificate may be cancelled by the issuing NCB if:

- the Certificate is misused,
- the Certificate has been issued in error, the equipment no longer corresponds to the specimens tested and described in the attached Test Report, or
- the holder of the Certificate requests cancellation.

**3.2.6** When a CB Test Certificate has been cancelled, the Secretary of the IECEE shall be notified as soon as possible by the issuing NCB, which shall state the reason for cancellation.

The Executive Secretary of the IECEE shall inform the manufacturer and all NCBs participating in the CB Scheme for the standard concerned that the relevant CB Test Certificate has been cancelled, and give the reason for the cancellation.

Note Each NCB concerned decides for itself if any certification or approval at national level based on that CB Test Certificate should be revoked.

### **3.3 Participation in the CB Scheme**

**3.3.1** Any Member Body of the IECEE shall have the right to nominate a candidate NCB under the conditions stated in 3.3.2. The membership is subject to acceptance by the CMC.

When there is more than one accepted NCB in a country, national arrangements shall be made to provide the co-ordination necessary for the operation according to these Rules.

An NCB shall not be, or be influenced by, a body which manufactures or trades in electrotechnical equipment and components.

Note The Member Body of IECEE and the NCB may be the same body.

**3.3.2** An NCB shall be accepted by the CMC either as a Recognizing NCB or as an Issuing and Recognizing NCB according to the Particular Rules of Procedure IECEE 02-2.

Note The acceptance described in this subclause may be made in two steps or in one step.

**3.3.3** When certification or approval is needed in a country as a condition to sell a product, it shall be declared by the candidate NCB that the national certification or approval can be based on a CB Test Certificate. When other conditions have to be fulfilled, they shall also be declared for later publication in the CB Bulletin.

**3.3.4** An NCB nominated by a Member Body of the IECEE to participate in the CB Scheme shall, via the Member Body of the IECEE, send a written application to the Secretary of the IECEE who shall submit the application to the CMC for decision.

The application shall contain the following:

- a) information on legal status, address etc of the candidate NCB;
- b) a written declaration by the candidate NCB that it is ready to provide for recognition of CB Test Certificates as a basis for national certification or approval to specified standards as required by 3.3.3. The number, the edition, and amendments, if any, shall be specified for each standard. The date from which CB Test Certificates will be recognized at national level shall also be stated for each standard.
- c) a declaration by the candidate NCB that is willing to abide by these Rules.

An Issuing and Recognizing NCB will not be authorized to issue CB Test Certificates for a standard until CB Test Certificates for that standard are recognized by that NCB.

National differences, if any, from the specified standards, as well as other requirements (see 3.3.3), shall also be indicated in the application for later publication in the CB Bulletin.

There shall not be more than one set of national differences for each country.

~~For missing National Differences TRFs that address National Differences, the IECEE Secretariat shall request the relevant MBs to develop the required TRFs shall be addressed to the relevant Member Body.~~

Note Candidate NCBs are strongly recommended to keep the number of national differences as low as possible.

The arrangements, when relevant, between the Member Body of the IECEE and the candidate NCB, shall be described, and a written statement from the NCB that it accepts the arrangement and permits the Member Body of the IECEE to act on its behalf according to these Rules shall be submitted.

**3.3.5** Each Member Body of the IECEE shall communicate the following information relevant to the recognition of CB Test Certificates to the Secretary of the IECEE:

- whether or not written information on procedures and rules for certification or approval at national level is available;
- whether or not a foreign manufacturer is required to make application for certification or approval at national level through representatives resident in that country.

**3.3.6** Each Member Body of the IECEE shall inform the Secretary of the IECEE about changes in the information given according to 3.3.4 and about the information according to 3.3.5.

**3.3.7** An NCB wishing to discontinue recognizing CB Test Certificates for certain standards shall, via the Member Body of the IECEE, notify the Secretary of the IECEE and shall indicate the date from which the discontinuation becomes effective at least one year in advance. Such a notice automatically cancels the right to issue CB Test Certificates to those standards. It is the duty of the Secretary to inform all other Member Bodies of the decision.

**3.3.8** An NCB wishing to withdraw from the CB Scheme shall notify the Secretary of the IECEE at least one year in advance and shall indicate the reason for the withdrawal and the date from which the withdrawal will become effective. The annual dues for that NCB shall be paid for the calendar year following the year during which the notice was given.

**3.3.9** Should, in the opinion of the CMC, an NCB hamper the aim, operation or development of the CB Scheme, fail to take action regarding misuse of CB Test Certificates or violate these Rules, the CMC has the right to exclude or to suspend that NCB from the CB Scheme.

A decision to exclude or suspend an NCB shall be taken in accordance with the provisions of 5.7~~6~~ of Publication IECEE 01.

### 3.4 The CB Bulletin

3.4.1 The CB Bulletin shall be made available at intervals decided by the CMC.

3.4.2 The CB Bulletin shall contain information about

- categories of products covered by the CB Scheme,
- standards accepted for use in the CB Scheme,
- the product standards for which NCBs in each country have declared recognition of CB Test Certificates,
- national differences for each standard and country as declared by the NCB(s) ,
- important rules in addition to the content of the standards which have to be fulfilled in the countries,
- the product categories for which NCBs in each country are authorized to issue CB Test Certificates,
- CB Test Certificates issued,
- accepted NCBs, and
- the operation of the CB Scheme, to assist the applicants.

3.4.3 The information published in the CB Bulletin is based on information given by the Member Bodies of the IECEE. Neither the IEC nor the Executive Secretary of the IECEE is therefore liable for the accuracy of that information.

### 3.5 Complaints

If there are complaints concerning the behaviours of an NCB or CBTL, the case shall be reported to the Secretary of the IECEE with due documentation of evidence. After review and acceptance of the complaint, the Secretary of the IECEE will submit the case to the Board of Appeal in accordance with the procedure as per sub-clause 4.2 of IECEE 02-1.

## 4 Procedures for handling CB Test Certificates

### 4.1 General

4.1.1 An application for obtaining a CB Test Certificate may be made by an applicant to any Issuing and Recognizing NCB accepted for the relevant standard.

The applicant will be the holder of the CB Test Certificate.

4.1.2 The applicant may be a manufacturer or act on behalf of a manufacturer. In the latter case, evidence shall be submitted that the applicant is authorized to act on behalf of the manufacturer for the application and that the manufacturer undertakes the same obligations as the applicant.

Note Those obligations may be to follow these Rules, the rules of the NCBs involved and legal obligations in the countries concerned.

4.1.3 The application may cover one or more factories within one or more countries, where the product will be manufactured.

4.1.4 An applicant in a country with no Member Body of the IECEE and an applicant acting on behalf of a manufacturer in such a country shall pay a contribution to the costs of the IECEE in the form of surcharge for each CB Test Certificate issued, the amount to be decided by the CMC. The surcharge is to be collected by the NCB handling the application, and remitted to the IECEE account.

4.1.5 Unless otherwise agreed between the applicant and the NCB, the tests shall be carried out by an accepted CBTL on the request of the NCB. Specific rules for utilization by an NCB of a ~~customer's manufacturer's~~ testing facilities are given in [OD-2048-OD-2027](#)..

## 4.2 Procedure for obtaining a CB Test Certificate

**4.2.1** The application to the Issuing and Recognizing NCB shall contain as a minimum the following information:

- name and address of the applicant;
- name and address of the manufacturer, if different from the applicant;
- names and addresses of the factories where the product will be manufactured;
- name, trademarks or other markings by which the applicant, the manufacturer, when appropriate, and the factory can be unambiguously identified by an NCB;
- type designation and markings by which the product can be unambiguously identified by an NCB.

**4.2.2** The application shall be made and dealt with according to the rules of the Issuing and Recognizing NCB to which it is submitted. That NCB shall inform the applicant about the relevant rules and procedures and about the specimens needed for the testing.

**4.2.3** Upon receipt of an application for a CB Test Certificate, the relevant Issuing and Recognizing NCB shall within one month arrange for testing of the relevant equipment. If the result of the tests is favourable, the NCB concerned shall sign and issue a CB Test Certificate to the applicant and send at the same time a copy of the certificate (not the attached Test Report) to the Secretary of the IECEE.

**4.2.4** The applicant may also request testing to cover national differences in countries in which the CB Test Certificate is to be used.

If additional tests have been carried out, a report of the results may be attached to, and considered to be a part of, the Test Report.

**4.2.5** When the application for obtaining a CB Test Certificate includes more than one factory location, the Applicant shall include a declaration from the Manufacturer stating that the sample(s) submitted for evaluation is (are) representative of the products from each factory.

A statement shall be included in the CB Test Report confirming Manufacturer's declaration or where differences exist; they shall be identified in the CB Test Report.

Note The statement may be the Manufacturer's declaration

The name and address of each factory shall be reported in the CB Test Report (where applicable for the relevant TRF) and on the CB Test Certificate.

**4.2.6** The application, the results of the work done and the information obtained in connection with the application for a CB Test Certificate shall be confidential. However, basic identification data for the product may be published after the date of issue, unless particular confidentiality is agreed between the applicant and the Issuing and Recognizing NCB.

**4.2.7** Disagreements between an Issuing and Recognizing NCB and an applicant may be dealt with according to the appeal procedure of the NCB.

If the applicant is not satisfied with the result of the appeal at national level, and if the disagreement concerns the application of these Rules, the dispute may be referred to the Board of Appeal of the IECEE.

## 4.3 Procedure for recognition of CB Test Certificates

**4.3.1** When an applicant applies to a Recognizing or to an Issuing and Recognizing NCB for national certification or approval of a product on the basis of a CB Test Certificate, the application shall be accompanied by a copy of the CB Test Certificate with the attached Test

Report and, if relevant, with attached reports covering national differences and, if required by the NCB, by a specimen of the product.

**4.3.2** When applying for national certification or approval on the basis of a CB Test Certificate, an applicant shall follow the rules of procedure applicable in the country concerned and shall confirm readiness to comply with all the relevant national provisions regarding, for example, retesting, checking, factory surveillance, and payment of fees, as if the equipment had been tested in accordance with the procedures valid in that country.

**4.3.3** The NCB shall examine the submitted CB Test Certificate (regardless of the location of the issuing NCB, even if that NCB is located in the same country as the recognizing NCB) and any required specimen to the extent considered necessary for the identification of the relevant equipment and for the recognition of the CB Test Certificate.

If the result of this examination is favourable, national certification or approval shall be granted by the NCB without additional testing following its own statutes and rules of procedure. However, if the test report does not cover declared national differences, if any, arrangements shall be made with the Applicant to carry out the additional evaluation and testing.

The NCB retains the right to test further the equipment to ascertain whether or not the equipment complies with the relevant standard. Such additional testing should be kept to a minimum.

**4.3.4** The NCB may challenge the CB Test Certificate when it is more than three years old or when the standard according to which it was issued is no longer in force in the country of the NCB.

**4.3.5** The NCBs are encouraged to handle applications for recognition of CB Test Certificates within 15 working days.

**4.3.6** Should the NCB receiving a CB Test Certificate for recognition consider it to have been issued in error, the NCB that issued the certificate shall be informed as soon as possible. If the NCBs involved arrive at different conclusions, the case may be referred to the Board of Appeal of the IECEE.

**4.3.7** The NCBs shall have the right to keep for reference photographs, technical documentation and specimens or, for large equipment, parts of such equipment, when required according to their rules. Such reference material shall be confidential.

~~INTERNATIONAL ELECTROTECHNICAL COMMISSION~~

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

~~Rules of Procedure~~

~~Part II: CB-FCS Scheme~~

~~FOREWORD~~

~~This publication governs the Certification Body Full Certification Scheme of the IECEE for testing, certification and factory audit/inspection of electrotechnical equipment and components which includes appliances, systems, industrial and household equipment and sub-assemblies (CB-FCS Scheme).~~

## INTRODUCTION

~~(Informative: Provides an overview of CB-FCS and is not part of these Rules of Procedure.)~~

~~The IECEE Certification Body (CB) Full Certification Scheme (CB-FCS) is an extension of the international IECEE CB Scheme and is an option to be exercised by the participants in the CB Scheme and by Applicants under the same IECEE management structure.~~

~~The CB-FCS is an Scheme based on the principle of mutual recognition of Conformity Assessment Certificates (CACs) and Conformity Assessment Reports (CARs) by its Members as the basis for approval or certification, at national level of products within the scope (see Clause 1 – Scope) to the standards accepted for use in CB-FCS.~~

~~The Scheme is intended to reduce obstacles to international trade that may arise from having to meet different national certification or approval criteria and processes. Participation of the various National Certification Bodies (NCBs) within CB-FCS is intended to facilitate certification or approval according to IEC standards. Where national standards are not yet completely in line with IEC standards, declared National Differences are taken into account; however, successful operation of the Scheme presupposes that national standards are reasonably harmonized with the corresponding IEC standards. Use of CB-FCS promotes the exchange of information necessary in assisting manufacturers to obtain certification or approval at a national level in one or multiple countries and regions.~~

~~Member NCBs to which an Applicant (Sub-clause 3.10) applies for a national certification or approval (NCBs “B”) accept the “Conformity Assessment Certificate” and associated “Conformity Assessment Report” issued by NCB “A” as a basis for such certification or approval. As a NCB B, its national standards shall be as far as possible be aligned with the IEC and its national certification procedures should as far as possible be harmonized with these Rules of Procedure. If however, differences exist, they are formally declared to the IECEE Secretariat for publication in order that Member NCBs are able to properly cover these differences when acting as NCB “A”.~~

~~CB-FCS is a product Certification System 5 as defined in ISO/IEC 17067.~~

~~Note Whether or not the NCB A issues its certification mark, it remains responsible for the ongoing conformity of the product(s) for which the CAC has been granted.~~

~~CB-FCS includes the following for the NCB A:~~

- ~~a) Type testing by a laboratory accepted within the CB scheme and issuance of a CAR; and~~
- ~~a) Initial Factory Inspection including evaluation of the factory’s quality management system (QMS)~~
- ~~b) Issuance of the CAC~~
- ~~c) Follow up Factory Inspection by NCB A, that in addition to assessing the product, the manufacturing process and the QMS, will also include re-testing of samples from production, when applicable according to the requirements NCB A and/or Body B. [See (g) and (h) and the Note in the description of ISO System No. 5 above].~~

~~CB-FCS includes the following for the NCB B:~~

- ~~a) Evaluate the CAC and CAR including, if necessary, direct separate consultation with NCB A to verify validity, initial inspection, follow up inspection, QMS surveillance and completeness of the CAC and CAR.~~
- ~~a) Test sample(s) are requested only if there are well-founded reasons, e.g. CAC and CAR are not complete or there is a justified technical doubt.~~
- ~~b) Issue the NCB B’s Certification/Mark/Licence according to its normal procedures.~~
- ~~c) Accept Initial Factory Inspections carried out by NCB “A.”~~
- ~~d) Accept components integrated in appliances and which have been tested/verified/inspected by NCB “A” and used within their ratings and conditions of use.~~



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

## ~~Rules of Procedure –~~

### ~~Part II: CB-FCS Scheme~~

#### ~~1 Scope~~

~~This part II contains the Rules of Procedure of the IECEE CB-FCS Scheme for Mutual Recognition of Conformity Assessment Certificates for Electrotechnical Equipment and Components.~~

~~The requirements contained in these Rules of Procedure are additional requirements to those of the CB Scheme.~~

~~The Scope of CB-FCS covers all Product Categories and Standards that are within the Scope of the IECEE CB Scheme.~~

#### ~~2 Normative references~~

~~The following publications contain provisions which, through reference in this text, constitute provisions of these Rules of Procedure. At the time of publication, the editions indicated were valid. The IECEE Certification Management Committee (CMC) shall decide the timetable for the introduction of new publications or revised editions or amendments of existing publications named as normative references.~~

##### ~~IECEE Definitions~~

~~IECEE 01: Fourteenth edition 2014-11, IEC System of Conformity Assessment Schemes for Electrotechnical Equipment and Components (IECEE)~~

~~ISO/IEC 17000:2004, Conformity Assessment – General Vocabulary~~

~~ISO/IEC 17065: 2012, Conformity assessment – Requirements for bodies certifying products, processes and services~~

~~ISO/IEC 17025: 2005, General requirements for the competence of calibration and testing laboratories~~

~~ISO/IEC 17030:2003, Conformity Assessment – General requirements for third party Marks of conformity~~

~~ISO/IEC 17040: 2005, Conformity Assessment – General requirements Peer assessment of Conformity assessment bodies and Accreditation Bodies~~

~~ISO/IEC 17067 2013, Conformity Assessment – Fundamentals of Product Certification and guidelines for product certification schemes~~

~~ISO/IEC Guide 28 2004, Conformity Assessment – Guidance on third party certification system for products~~

~~ISO 9001: 2000, Quality Management Systems – Requirements~~

### **3—Rules**

#### **3.1—General**

~~The IECEE Certification Management Committee (CMC) governs operation of CB-FCS. The CMC's responsibilities in this respect are defined in the Basic Rules of the IECEE as given in Publication IECEE 01.~~

~~When a CAC needs to be reissued (e.g. due to modification of the product) or cancelled, the rules for issuing, modifying or cancelling of CB Test Certificates apply to CACs.~~

#### **3.2—Participation in CB-FCS**

##### **3.2.1—Member Body and NCB Obligations**

~~3.2.1.1—The Member Body of an NCB applying for membership in CB-FCS and the applicant NCB, shall declare to the IECEE Secretary that the national certification or approval can be based on a CB-FCS Conformity Assessment Certificate. When other conditions have to be fulfilled, they shall also be declared for later publication in the CB Bulletin, Website, etc.~~

~~3.2.1.2—The Member Body of an accepted CB-FCS member shall inform the Secretary of the IECEE about any changes in the information given according to 4.2.1.~~

##### **3.2.2—Pre-requisites for CB-FCS NCBs**

~~To be eligible to participate in CB-FCS, the NCB must have operated within the IECEE CB Scheme during the last 3 years prior the application being submitted to the IECEE Secretariat.~~

~~In addition the candidate NCB shall meet the following criteria:~~

- ~~a) To issue a certificate/approval/mark with a demonstrated market value,~~
- ~~a) To operate a Certification program according to ISO System 5 with all the product certification functions and their "elements of conformity" implemented in practice.~~
  - ~~• Initial assessment of compliance that includes the testing function, the certification function and the third-party certification mark function, and~~
  - ~~• Ongoing assessment of compliance that includes the factory inspection function, the market surveillance function and the corrective action function.~~
- ~~b) To have completed, within the last three years, a minimum of 100 Factory Inspections (both Initial and Follow up/surveillance inspections) relevant to the product category(ies)/standard(s) for which the NCB is seeking acceptance,~~
- ~~c) To be prepared to accept initial and follow up Factory Audit/Inspection Reports issued by the CB-FCS Members, based upon its own requirements and procedures.~~
- ~~d) To have tested and evaluated during each of the last three years at least 10 products falling under the scope of the product category(ies)/standard(s) for which the NCB is seeking acceptance.~~
- ~~e) To have fully declared National Differences for the product category(ies)/standard(s) for which the NCB is seeking acceptance in CB-FCS.~~
- ~~f) To have fully declared its overall certification procedures and acceptance of TMP, WMT, SMT, and RMT and LTR, including any differences between its certification program and procedures and those of the CB-FCS.~~

##### **3.2.3—Ongoing Obligations for all NCBs applying for membership in CB-FCS**

- ~~a) To abide by the CB-FCS Rules of Procedure.~~
- ~~a) To be in good standing with respect to the IECEE Membership Fees~~
- ~~b) To conform to the IECEE Peer Assessment Programme based on ISO/IEC Guide 65, ISO/IEC 17025 as well as ISO/IEC 17020, ISO/IEC 17030 and ISO/IEC Guide 27 (or their most current replacements).~~

- ~~e) To maintain adequate internal procedures to enable quick processing of recognition of CAR(s) and CAC(s).~~
- ~~d) To accept on an ongoing basis CACs and CARs based on TMP, WMT, SMT, and RMT and LTR.~~
- ~~e) To accept components that have already been tested, evaluated and certified by a CB-FCS NCB according to the IECEE Component Recognition Program.~~
- ~~f) To recognise CACs and CARs without additional testing if all of the CB-FCS NCB's National Differences (if any declared) are met. An Issuing and Recognizing NCB will not be authorized to issue CACs Test for a standard unless CACs for that standard are recognized by that NCB.~~
- ~~g) To recognise CACs and CARs without an additional Initial Factory Audit if the audit has been carried out by NCB "A" according to the procedures declared by the NCB B.~~
- ~~h) To exercise full control of its associated CBTL(s), ACTLs, MTLs and LTRs.~~
- ~~i) To provide evidence of an adequate liability and indemnification coverage, the amount of which is set by the CMC (currently CHF 4,000,000).~~

### **3.2.4 Application Process for Candidate NCBs**

~~An NCB desiring to participate in CB-FCS shall, via the Member Body of the IECEE, send a written application to the IECEE Secretariat.~~

~~In addition, the application shall contain the following:~~

- ~~• a written declaration by the candidate NCB that it is ready to provide for recognition of CACs and CARs as a basis for its certification or approval to specified standards.~~
- ~~• The date from which CACs will be recognized by the candidate NCB for their certification at national level shall also be stated for each standard for which the candidate NCB has applied for acceptance.~~
- ~~• Differences between its certification program and procedures and those of CB-FCS as mentioned in these Rules of Procedure shall also be indicated in the application for later publication in the CB Bulletin.~~

## **4 Procedures for handling Conformity Assessment Certificates**

### **4.1 General**

~~4.1.1 An application for obtaining a CAC may be made by an applicant to any Issuing and Recognizing NCB accepted to operate within CB-FCS for the relevant product category and standard. The applicant will be the holder of the CAC.~~

~~4.1.2 The applicant may be a manufacturer or act on behalf of a manufacturer. In the latter case, evidence shall be submitted that the applicant is authorized to act on behalf of the manufacturer for the application and that the manufacturer undertakes the same obligations as the applicant.~~

~~4.1.3 The application may cover one or more factories located in one or more countries, where the product is manufactured.~~

~~4.1.4~~ An applicant in a country with no Member Body of the IECEE and an applicant acting on behalf of a manufacturer in such a country shall pay a contribution to the costs of the IECEE in the form of surcharge for each CAC issued, the amount to be decided by the CMC (see OD-2026). The surcharge is to be collected by the NCB handling the application, and remitted to the IECEE account.

#### ~~4.2~~ Procedure for obtaining a Conformity Assessment Certificate

~~4.2.1~~ The granting of the Conformity Assessment Certificate implies that the Issuing NCB also issues its own Certification Mark.

~~4.2.2~~ It is a requirement that the Certification Mark of the Issuing NCB be part of the CB-FCS Scheme and that the product(s) certified according to the CB-FCS, bear the NCB's certification mark.

The application to the NCB (NCB A) shall contain as a minimum the following information:

- ~~a)~~ name and address of the applicant;
- ~~a)~~ name and address of the manufacturer, if different from the applicant;
- ~~b)~~ name(s) and address(es) of the factory(ies) where the product will be manufactured;
- ~~c)~~ name, trade marks or other markings by which the applicant, the manufacturer, when appropriate, and the factory can be unambiguously identified by an NCB;
- ~~d)~~ product identification, type designation and markings by which the product can be unambiguously identified by an NCB;
- ~~e)~~ copy of a valid CAR, if previously issued;
- ~~f)~~ any special request, such as a particular testing laboratory or use of a manufacturer's test facilities;
- ~~g)~~ NCB(s) to which the Conformity Assessment Certificate is intended to be transferred, if known.
- ~~h)~~ Evidence of an operating quality management system in place for the specific product concerned. This evidence applies to each factory as declared under c), (and could for e.g. be evidence of current registration/certification to ISO 900).

~~4.2.2~~ The application shall be made and dealt with according to the rules of the NCB A to which the application is submitted.

~~4.2.3~~ After fulfillment of all application conditions necessary for a Conformity Assessment Certificate, the relevant NCB (NCB A) shall generally within one month arrange for the elements of conformity assessment (testing, factory inspection) of the relevant product to be carried out. If the result of the conformity assessment is favorable, the NCB concerned shall issue a Conformity Assessment Certificate and Conformity Assessment Report.

~~4.2.4~~ When the application covers more than one factory, the address of each factory shall be stated in the Conformity Assessment Certificate and the NCB shall take steps to ensure that the products from all the factories are identical

~~4.2.5~~ The application, the results of the work done and the information obtained in connection with the application for a Conformity Assessment Certificate and Conformity Assessment Report shall be confidential; however, basic identification data for the product may be published after the date of issue, unless particular confidentiality is agreed between the applicant and the NCB.

~~4.2.6 The NCB has the right to cancel a CAC if:~~

- ~~a) CAC is misused;~~
- ~~a) CAC has been issued in error;~~
- ~~b) the equipment in production, as determined by factory surveillance and audit testing, no longer corresponds to the specimens tested as described in the CAC and its associated CAR;~~
- ~~c) the holder of the CAC requests cancellation.~~

~~4.2.7 Disagreements between the NCB and the applicant may be dealt with according to the appeals procedure of the NCB. If the applicant is not satisfied with the result of the appeal at a national level, and if the disagreement concerns the application of these Rules of Procedure, the dispute shall be handled according to IECEE 01.~~

### ~~4.3 Procedure for obtaining national certification or approval~~

~~4.3.1 When an applicant applies to a NCB B for national certification or approval of a product on the basis of a Conformity Assessment Certificate, the application shall be accompanied by the following documentation:~~

- ~~a) copy of a valid Conformity Assessment Certificate;~~
- ~~a) copy of the associated and valid Conformity Assessment Report that covers the applicable National Differences;~~
- ~~b) statement on the on-going conformity of the product~~

~~4.3.2 The NCB B shall review the documentation provided by the applicant to the extent considered necessary for the identification of the relevant product/equipment for the purpose of granting its national certification/approval.~~

~~4.3.3 If the result of the review is favourable, CB-FCS NCB's are required to issue their National Certification/Marks Licence or Approval, based on a CAC and associated CAR issued by a CB-FCS NCB A without requesting a sample(s) of the product, except as indicated below, provided that:~~

- ~~• NCB A has covered NCB B's national differences (if any) and this is clearly shown in the relevant Conformity Assessment Report (CAR) and Conformity Assessment Certificate (CAC).~~
- ~~• NCB A has included in the relevant Conformity Assessment Report (CAR) documented evidence for product identification in accordance with the CTL-OP-107.~~
- ~~• The Applicant provides NCB B a Declaration of Identity confirming that the product(s) for which the NCB B's Certification/Approval is requested is(are) identical to the product(s) initially tested and evaluated by NCB A.~~

~~Note If the products are not identical, the CAC and CAR are not valid.~~

~~When well-founded reasons exist for doubting the identity of the product, the validity of test results or information provided, NCB B may request and evaluate a sample of the product. In such a case, NCB B shall consult with NCB A. The Applicant and the IECEE Secretariat shall be informed accordingly.~~

~~4.3.4 The NCB B is generally expected to handle applications for recognition of CACs within 15 working days.~~

~~4.3.5 The NCB B will determine and administer its own fee policy for product testing, certification and inspections.~~

## **5—Factory Inspections**

~~5.1—The location(s) at which the product is manufactured or assembled shall be subjected to an Initial Factory Inspection and subsequent regularly scheduled follow-up Inspections as specified in the relevant CB-FCS Operational Documents.~~

~~5.2—The initial on-site Factory Inspections and the on-site Follow-up Inspections are intended to ensure that both the quality management system and the production process are implemented and maintained to meet the requirements of the CB-FCS at the factory(ies) where the product is manufactured.~~

~~Note—It is permitted to reduce the assessment of the quality management system if the Factory where the product is manufactured is currently certified/registered to ISO 9001 with a reputable accredited certification body/registrar. However, an on-site assessment is still necessary to verify continued compliance with the relevant IECEE Rules.~~

### **5.3—Initial and Follow up Inspections by NCB B**

~~5.3.1—Unless specific provision is taken by the NCB (in Annex 1 of the CB-FCS MLA), then the NCB Bs shall accept Initial Factory Inspections carried out by NCB A under the condition that Body A has fulfilled the general requirements and procedures for factory inspection for the CB-FCS scheme and has covered Body B's additional requirements, if any.~~

~~5.3.2—For Follow up Inspections, NCB B may require a signed agreement with NCB A. Body B may require Body A to undergo training.~~

~~5.3.3—When well-founded reasons exist for doubting the identity of the product, the validity of the Initial Factory Inspection results or information provided, NCB B shall consult with NCB A, and inform the IECEE Secretariat. If no agreement between NCB B and NCB A can be found to overcome the doubt, Body B may choose to repeat the Initial Factory Inspection.~~

## **6—Factory Surveillance Service—General principles**

~~This Process Document details the principles and process to be followed by the operators in the CB-Factory Surveillance Service (CB-FSS), which are named CB-Factory Surveillance Bodies (CB-FSB).~~

~~CB-FSS is a Service within the IECEE System for Factory Surveillances. All IECEE members are eligible to apply for operating this service.~~

~~This service can be performed:~~

- ~~• as a **stand-alone** service that only provides the visit and the evaluation of factory locations independently from of testing and certification. The aim of the service is the recognition of surveillance reports by other NCBs without performing own Factory Surveillances;~~
- ~~• as a **supplement** to a CB certification that includes the visit and evaluation of factory locations. The aim is recognition of surveillance reports by other NCBs for granting their mark without performing own Factory Surveillances.~~

~~By participating in this Factory Surveillance Services the NCBs and their associated CB-FSB agree to conform to all relevant IECEE Rules of Procedure.~~

~~During the operation of the FSS the IECEE Executive Secretary shall monitor by Peer Assessment the competence, performance, integrity and confidentiality of the relevant Factory Surveillance Department of the NCBs or their CBTLs (the CB-FSBs) on a regular basis according to the relevant requirements.~~

~~It is the responsibility of the~~

- ~~• individual participating NCBs to provide information about their Differences from the IECEE Initial Assessment & Periodic Factory Surveillance Procedures. The differences could be technical and non-technical.~~

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Only the version on the IECEE Website is the current document version~~

- ~~IECEE to manage the organisation of the trainings and workshops aiming at achieving consistent performance of Initial Assessments & Factory Surveillances.~~

## ~~7—Procedures for handling Factory Surveillance Reports~~

### ~~7.1—General~~

~~7.1.1—An application for obtaining a CB Test Certificate and / or a CB Factory Surveillance Report may be made by an applicant to any Issuing and Recognizing NCB accepted for the relevant standard resp. category.~~

~~The applicant will receive the CB Test Certificate and / or the CB Factory Surveillance Report.~~

~~7.1.2—The applicant may be:~~

- ~~a manufacturer;~~
- ~~act on behalf of a manufacturer. In the latter case, evidence shall be submitted that the applicant is authorized to act on behalf of the manufacturer for the application and that the manufacturer undertakes the same obligations as the applicant;~~
- ~~any factory in case of the stand-alone service~~

~~7.1.3—The application may cover one or more factories within one or more countries, where the product will be manufactured.~~

~~7.1.4—An applicant in a country with no Member Body of the IECEE and an applicant acting on behalf of a manufacturer in such a country shall pay a contribution to the costs of the IECEE in the form of surcharge for each CB Test Certificate and /or CB Factory Surveillance Report issued, the amount to be decided by the CMC. The surcharge is to be collected by the NCB handling the application, and remitted to the IECEE account.~~

~~7.1.5—Unless otherwise agreed between the applicant and the NCB, the tests shall be carried out by an accepted CBTL and surveillance shall be carried out by an accepted CB-FSB on the request of the NCB.~~

~~Specific rules for utilization by an NCB of a manufacturer's test facilities for testing are given in OD-2027.~~

### ~~7.2—Procedure for obtaining CB Factory Surveillance Reports~~

~~7.2.1—The application to the Issuing and Recognizing NCB shall contain as a minimum the following information:~~

- ~~name and address of the applicant;~~
- ~~name and address of the manufacturer, if different from the applicant;~~
- ~~names and addresses of the factories where the product is manufactured;~~
- ~~name, trademarks or other markings by which the applicant, the manufacturer, when appropriate, and the factory can be unambiguously identified by an NCB;~~
- ~~type designation and markings by which the product can be unambiguously identified by an NCB.~~

~~If the application is:~~

- ~~submitted together with an application for a CB certificate this application will provide the required information.~~
- ~~related to an already established CB certificate a copy of the certificate will provide the required information and a copy should be attached to the application~~

~~7.2.2 The application shall be made and dealt with according to the rules of the Issuing and Recognizing NCB to which it is submitted. That NCB shall inform the applicant about the relevant rules and procedures and about the Factory Surveillance Differences.~~

~~7.2.3 Upon receipt of an application for a CB Factory Surveillance Report, the relevant Issuing and Recognizing NCB shall within one month arrange for Surveillance of the relevant factory. If the result of the Surveillance is favourable, the NCB concerned shall issue a CB Factory Surveillance Report to the applicant.~~

~~7.2.4 The applicant may also request additional activities to cover Factory Surveillance Differences in countries/NCBs in which the CB Factory Surveillance Report is to be used.~~

~~If additional Surveillances or activities have been carried out, a report of the results may be attached to, and considered to be a part of, the Factory Surveillance Documentation.~~

~~7.2.5 The application, the results of the work done and the information obtained in connection with the application for a CB Factory Surveillance Report shall be confidential. However, basic identification data may be published after the date of issue, unless particular confidentiality is agreed between the applicant and the Issuing and Recognizing NCB.~~

~~7.2.6 Disagreements between an Issuing and Recognizing NCB and an applicant may be dealt with according to the appeal procedure of the NCB.~~

~~If the applicant is not satisfied with the result of the appeal at national level, and if the disagreement concerns the application of these Rules, the dispute may be referred to the Board of Appeal of the IECEE.~~

### ~~7.3 Procedure for recognition of CB Factory Surveillance Reports~~

~~7.3.1 When an applicant applies to a Recognizing or to an Issuing and Recognizing NCB for acceptance of a Factory Surveillance Report, the application shall be accompanied by a copy of the CB Factory Surveillance Documentation and, if relevant, with attached reports covering Factory Surveillance Differences.~~

~~7.3.2 When applying for acceptance of a CB Factory Surveillance Report, an applicant shall follow the rules of procedure applicable in the country and/or by that NCB concerned and shall confirm readiness to comply with all the relevant national provisions regarding, for example, routine Surveillances, and payment of fees, as if the factory had been inspected in accordance with the procedures valid in that country and/or by that NCB.~~

~~7.3.3 The NCB shall examine the submitted CB Factory Surveillance Report to the extent considered necessary for the identification of the relevant equipment and for the recognition of the CB Factory Surveillance Report.~~

~~If the result of this examination is favourable, national certification or approval shall be granted by the NCB without additional surveillance following its own statutes and rules of procedure. However, if the Factory Surveillance Report does not cover declared Factory Surveillance Differences, if any, arrangements shall be made with the Applicant to carry out the additional Surveillance.~~

~~The NCB retains the right to perform surveillance at the factory to ascertain whether or not the factory complies with the relevant requirements. Such additional surveillance should be kept to a minimum.~~

~~7.3.4 The NCB may challenge the CB Factory Surveillance Report when it is more than one year old or when the requirements to which it was issued are no longer in force.~~

~~7.3.5 The NCBs are encouraged to handle applications for recognition of CB Factory Surveillance Report within 15 working days.~~

~~7.3.6 Should the NCB receiving a CB Factory Surveillance Report for recognition consider it to have been issued in error, the NCB that issued the report shall be informed as soon as~~



~~possible. If the NCBs involved arrive at different conclusions, the case may be referred to the Board of Appeal of the IECEE.~~



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