

IECEE PUBLICATION

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

Rules of Procedure – CB Scheme of the IECEE for Mutual Recognition of Test Certificates for Electrotechnical Equipment and Components (CB Scheme) and its related services:

- **Statement of Test Results - Energy Efficiency Testing Service (E3)**
- **Global Motor Energy Efficiency (GMEE) Program**
- **Industrial Cyber Security Program**



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INTERNATIONAL ELECTROTECHNICAL COMMISSION

**IEC System of Conformity Assessment Schemes for Electrotechnical
Equipment and Components (IECEE) –****Rules of Procedure –****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 nineteenth edition of IECEE 02 cancels and replaces the eighteenth-edition published in 2018.

This publication is directly related to Publication IEC CA 01 “IEC Conformity Assessment Systems – Basic Rules” and IECEE 01-S “IECEE Supplement to Harmonized Basic Rules IEC CA 01.”

The annexes to this publication are normative.

Document Owner

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

History of changes

Revision date	Brief summary of changes
2017-05-17	The following sub-clauses were updated: Introduction, 3.3.3, 3.3.4, 3.4, 3.4.1 and 3.4.2 (changed from 3.4.2 and 3.4.3 by deletion of 3.4.1, and modified), 3.4.3, 4.3.4
2016-06-01	The following sub-clauses were modified: 3.2.4, 3.3.4, 4.1.5 Part II was transferred to IECEE 03, Edition 6.0
2018-02-08	The following clauses were updated: FOREWORD, Clauses 2, 3.1.3, 3.3.9, 4.2.3
2019-03-06	The following clauses were updated: 3.4.1.b with addition of the following Annexes: Statement of Test Results - Energy Efficiency Testing Service (E3); Global Motor Energy Efficiency (GMEE) Program; Industrial Cyber Security Program per Decision 66/2018

2019-07-24	Annexes numbered as per CMC Decision 13/2019.
2019-03-07	<p>The following clauses were updated:</p> <p>Annex A - Statement of Test Results - Energy Efficiency Testing Service (E3) Clause 2 (with associated numbering), 4, 4.1, 4.1.1, 4.1.2, 4.2, 4.3; Annex B- Global Motor Energy Efficiency (GMEE) Program Clause 2 (with associated numbering), 4; Annex C - Industrial Cyber Security Program Clause 19.2 (with associated numbering), 3, 3.2</p>

Effective date	Next maintenance due date
2020-01-01	2023-01-01

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 shown on the IECEE Website.

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 –

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. For the normative documents without publication year, the latest version is applied.

IEC CA 01: *IEC Conformity Assessment Systems- Basic Rules*

IECEE 01-S: *IECEE Supplement to Harmonized Basic Rules IEC CA 01*

IECEE Definitions

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 IEC CA 01 and IECEE 01-S.

3.1.4 The IEC, IECEE and combination IEC/IECEE logos are copyrighted and belong to the IEC. Their use is restricted to official documents published by the IEC or the IECEE or both and shall not be reproduced or utilized in any form or by any means, electronic or mechanical, including photocopying and microfilm, without prior permission in writing from the IECEE Executive Secretary.



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.

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 on the IECEE Website..

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 on the IECEE Website.

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

Disclaimer: This document is controlled and has been released electronically.
Only the version on the IECEE Website is the current document version

For missing TRFs that address National Differences, the IECEE Secretariat shall request the relevant MBs to develop and provide the required TRFs

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 IEC CA 01 .

3.4 The IECEE Website

3.4.1 The IECEE Website shall contain information about

- a) 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,
- b) national differences for each standard and country as declared by the Member Body or its designee;
- c) important rules in addition to the content of the standards which have to be fulfilled in the countries,
- d) the product categories for which NCBs in each country are authorized to issue CB Test Certificates,
- e) CB Test Certificates issued, accepted NCBs, and
- f) the operation of the CB Scheme, to assist the applicants.

3.4.2 The information published on the IECEE Website 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 testing facilities are given in OD-2048.

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.

The NCB shall register the certificate in the IECEE online deliverables database within three months from the certificate issue date. Certifications from the previous year shall be registered by the end of January of the following year.

In exceptional cases where the public release of information on the certificate in the IECEE online deliverables database would place an NCB in breach of a confidentiality agreement with the certificate holder, the NCB may request to restrict the display of any and all information until the certificate “release date.”

The NCB shall also submit a statement explaining why they are unable to register the full certificate.

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 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.

Annex A Statement of Test Results - Energy Efficiency Testing Service (E3)

A.1 Scope

This publication contains the Rules of Procedure of the IECEE Statement of Test Results Energy Efficiency Testing Service (E3). The service is intended to demonstrate the results of testing performed in accordance with IEC Energy Efficiency standards via a Statement of Test Results.

A.2 Definitions

For the purpose of this publication, the definitions of *IECEE Definitions* apply with the following additions:

E3	Energy Efficiency
IECEE E3 Service	IECEE Reporting Service for Energy Efficiency
Statement of Test Results	Statement of Test results is a document by which the NCB confirms impartial test results of the IECEE E3 laboratory thus giving confidence to the market.

A.3 Rules

The Energy Efficiency Testing Service (E3) is operated following the main requirements in this document with the following additional considerations.

A.3.1 Deliverables

The deliverables for this service include a Statement of Test Results (STR) and a Test Report.

The results are incorporated into the IECEE Deliverables database.

A.3.3.1. Statement of Test Results (STR)

A Statement of Test Results (STR) is a document issued by an NCB in conjunction with the attached E3 Test Report. The actual test data shall be stated.

A STR shall be issued for a specific model or models, not a series.

Rationale: As a statement of specific test results, it can only cover the tested model(s). Therefore, the specific model or models have to be mentioned on the STR.

The STR TRF may only use the relevant clauses related to Energy Efficiency and/or the data required by the client.

Upon issuance of an STR, the NCB is responsible for adding the information in the IECEE online system. The contents to be entered are specified by the system.

Note: Not all content entered by the NCB is available on the public facing side of the system.

The format for the Statement of Test Results shall be administered by the IECEE Secretariat and any revisions approved by the CMC.

The template for issuing STRs is provided in OD-2037

Annex B Global Motor Energy Efficiency (GMEE) Program

B.1 Scope

This publication contains the Rules of Procedure for the IECEE Global Motor Energy Efficiency (GMEE) Program. The service is intended to demonstrate the results of testing performed in accordance with *IEC 60034-2-1, Rotating electrical machines – Part 2-1: Standard methods for determining losses and efficiency from tests (excluding machines for traction vehicles)* via a Certificate of Conformity.

The test results shall then confirm an appropriate Efficiency Class (IE-code) in accordance with *IEC 60034-30-1 Rotating electrical machines - Part 30-1: Efficiency classes of line operated AC motors (IE code)*

B.2 Definitions

For the purpose of this publication, the definitions of *IECEE Definitions* apply with the following additions:

GMEE	Global Motor Energy Efficiency
IE-code	Rated efficiency class in accordance with IEC 60034-30-1
NCB	National Certification Body

B.3 Rules

The Global Motor Energy Efficiency (GMEE) Program is operated following the main requirements in this document with the following additional considerations.

B.3.1 Participation

Participation in the Global Motor Energy Efficiency (GMEE) Program is for IECEE Issuing NCBs only.

Recognizing NCBs do not apply. Although, IECEE Members and other interested stakeholders may determine the suitability and potential further use of such results. As a result, specification of National Differences is not applicable.

B.3.2 Deliverables

The deliverables for this service include a CB Test Certificate (CBTC) and a Test Report (CBTR).

The results are incorporated into the IECEE online database.

B.3.2.1 CB Test Certificate (CBTC)

On the CB Test Certificate for the GMEE Program, the conformity is detailed in the conformity section:

“A sample of the product was tested and found to be in conformity with”

The result shall be specified with an inclusion of the standard, program identification, and efficiency class. For example:

60034-2-1:2014 GMEE IE3

B.3.3 Expert Task Force (ETF)

Based on the needs for specific technical expertise for this service, a CTL ETF for GMEE shall be maintained.

A primary responsibility of the ETF shall include the determination of sampling criteria (OD 2041) to ensure consistent application by all NCBs.}}

B.3.4 Proficiency Testing Program

A proficiency testing program shall be provided specific to GMEE and administered in accordance with OD-5004.

Annex C Industrial Cyber Security Program

C.1 Scope

This publication contains the Rules of Procedure for the IECEE Industrial Cyber Security Program. The service is intended to provide a framework for assessments in accordance with the IEC 62443 Security for industrial automation and control systems series of standards to result in an IECEE Certificate of Conformity - Industrial Cyber Security Capability.

The IEC 62443 series of standards generally specify requirements for security capabilities. These capabilities may be technical capabilities (security mechanisms) or process capabilities (human procedures).

IEC 62443 conformance assessment consists of the evaluation of an Applicant's security capabilities that it uses to develop, integrate and/or maintain specific products or solutions. Two evaluations can be conducted:

- 1) To evaluate an applicant's ability to provide IEC 62443 compliant security capabilities. This assessment focuses on evidence that supports the Applicant's submittal. This submittal contains the specific requirements and the processes used to implement the security capabilities for which they are requesting to be assessed.
- 2) To evaluate that these capabilities have been applied to either:
 - a) a specific product or
 - b) a specific solution.

C.2 Rules

The IECEE Industrial Cyber Security Program is operated following the main requirements in this document with the following additional considerations.

Note: In this case, Test Results relate to the assessment of supporting evidence for security capabilities required by IEC 62443 and the application of those capabilities.

C.2.1 Participation

Participation in the IECEE Industrial Cyber Security Program does not require NCBs to be Recognizing NCBs before they can become Issuing NCBs. However, NCBs are encouraged to participate as Recognizing NCBs even if they are not Issuing NCBs.

Members and other interested stakeholders may determine the suitability and potential further use of this program. As a result, specification of National differences is not applicable.

C.2.2 Certificate of Conformity - Industrial Cyber Security Capability

The deliverable to be issued as a result of the IECEE Industrial Cyber Security Program is a Certificate of Conformity – Industrial Cyber Security Capability in accordance with OD-2037. A Certificate is associated with a supporting IECEE Test Report. The report is not valid as an IECEE Test Report unless signed by an approved CB Testing Laboratory and appended to a Certificate issued by an NCB in accordance with this operational document.

This certificate can be issued by an NCB under two scenarios:

- 1) Scenario 1 – Capability Assessment: An assessment of a set of technical capabilities (IEC 62443-3-3, IEC 62443-4-2) or process-oriented capabilities (IEC 62443-2-4, IEC 62443-4-1)
- 2) Scenario 2 – Application of Capabilities Assessment: Use of a Scenario 1 process-oriented capability for a specific product or solution

Within this program, the Scenarios apply as follows for the IEC 62443 series of standards (greyed-out cells mean not applicable):

	IEC 62443-2-4	IEC 62443-3-3	IEC 62443-4-1	IEC 62443-4-2 (Future Consideration)
Process	✓ Scenario 1		✓ Scenario 1	
Product	✓ Scenario 1*	✓ Scenario 1* Optionally in conjunction with an IEC 62443-4- 1 Scenario 2 certificate***	✓ Scenario 2 possibly in conjunction with an IEC 62443-3-3 or IEC 62443-4-2 Scenario 1 certificate**	✓ Scenario 1* in conjunction with an IEC 62443-4-1 Scenario 2 certificate****
Solution	✓ Scenario 2			

* Note – Product in this instance refers to a product/component as it contributes to a solution.

**Note – An IEC 62443-4-1 Application of Capability certificate of conformity for a product may be issued in conjunction with an IEC 62443-3-3 or IEC 62443-4-2 Scenario 1 certificate of conformity for that product, or for a product that meets non-IEC 62443 technical security requirements.

***Note – A product certificate of conformity for a control system may optionally be issued in conjunction with an IEC 62443-4-1 Scenario 2 certificate of conformity for that control system.

**** Note - A product certificate of conformity for a control system component must be issued in conjunction with an IEC 62443-4-1 Scenario 2 certificate of conformity for that component.

In summary, the following types of certificates of conformity are defined:

- Product Capability Assessment (IEC 62443-2-4, IEC 62443-3-3, IEC 62443-4-2)
- Process Capability Assessment (IEC 62443-2-4, IEC 62443-4-1)
- Solution Capability Assessment (future consideration)
- Product Application of Capabilities Assessment (IEC 62443-4-1)
- Process Application of Capabilities Assessment (future consideration)
- Solution Application of Capabilities Assessment (IEC 62443-2-4)

C.2.3 IECEE Industrial Cyber Security Program Operation

C.2.3.1 Scoping of Submittal

The Applicant is responsible for both identifying the standards within the IEC 62443 series to be utilized in their assessment and for selecting the specific security requirements from the identified standards that are to be evaluated within the scope of the assessment. In addition, the Applicant may be required to identify the product(s) or solution to which the assessment applies.

Note: It is not required to select all security requirements from the identified standard. The Applicant selects the specific requirements for which they are requesting to be assessed.

C.2.3.2 Supporting Evidence

As part of the submittal, the Applicant completes the applicable portions of a Test Report Form (TRF) and additionally provides evidence in support of the capabilities that are intended to demonstrate compliance to the selected requirement(s).

C.2.3.3 Assessment

In performing the assessment, each selected IEC 62443 security requirement is evaluated against the supporting evidence supplied by the Applicant to determine compliance.

C.2.4 Expert Task Force (ETF)

Based on the needs for specific technical expertise for this service, a CTL ETF for the IEC 62443 series of cyber security standards shall be maintained.

A primary responsibility of the ETF is to ensure the consistent interpretation and application of IEC 62443 requirements by all NCBs/CBTLs.

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