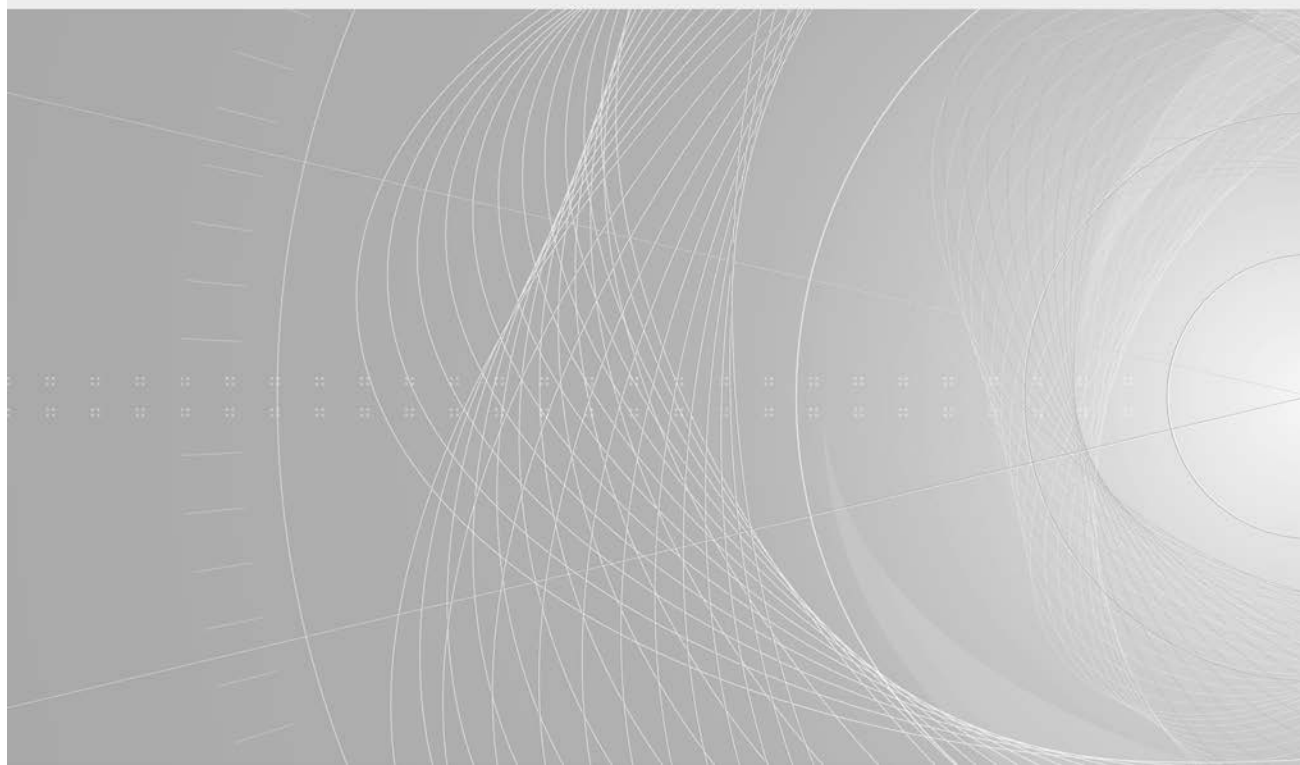




IECEE PUBLICATIONS

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

Definitions





THIS PUBLICATION IS COPYRIGHT PROTECTED

Copyright © 2016 IEC, Geneva, Switzerland

All rights reserved. Unless otherwise specified, no part of this publication may be reproduced or utilized in any form or by any means, electronic or mechanical, including photocopying and microfilm, without permission in writing from either IEC or IEC's member National Committee in the country of the requester.

If you have any questions about IEC copyright or have an enquiry about obtaining additional rights to this publication, please contact the address below or your local IEC member National Committee for further information.

IEC Central Office
3, rue de Varembe
CH-1211 Geneva 20
Switzerland

Tel.: +41 22 919 02 11
Fax: +41 22 919 03 00
info@iec.ch
www.iec.ch

About the IEC

The International Electrotechnical Commission (IEC) is the leading global organization that prepares and publishes International Standards for all electrical, electronic and related technologies.

About IEC publications

The technical content of IEC publications is kept under constant review by the IEC. Please make sure that you have the latest edition, a corrigenda or an amendment might have been published.

Useful links:

IEC publications search - www.iec.ch/searchpub

The advanced search enables you to find IEC publications by a variety of criteria (reference number, text, technical committee,...).

It also gives information on projects, replaced and withdrawn publications.

IEC Just Published - webstore.iec.ch/justpublished

Stay up to date on all new IEC publications. Just Published details all new publications released. Available on-line and also once a month by email.

Electropedia - www.electropedia.org

The world's leading online dictionary of electronic and electrical terms containing more than 30 000 terms and definitions in English and French, with equivalent terms in additional languages. Also known as the International Electrotechnical Vocabulary (IEV) on-line.

Customer Service Centre - webstore.iec.ch/csc

If you wish to give us your feedback on this publication or need further assistance, please contact the Customer Service Centre: csc@iec.ch.



IECEE PUBLICATIONS

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

Definitions

CONTENTS

CONTENTS	2
FOREWORD.....	4
1 Acronyms	5
2 Operational Documents	6
3 National Certification Body (NCB).....	6
3.1 Recognizing NCB.....	6
3.2 Issuing and Recognizing NCB.....	6
3.3 NCB “A”	6
3.4 NCB “B”	7
4 CB Factory Surveillance Body (CB-FSB)	7
5 Applicant	7
6 CB Testing Laboratory (CBTL).....	7
7 Specialized Testing Laboratory (SPTL).....	7
7.1 Supervising CBTL.....	7
8. Manufacturer	7
9. Customer.....	8
10. Customer’s Testing Facility (CTF).....	8
11 Ownership of Customer’s Testing Facility (CTF)	8
12 Assessment.....	8
13 Local Technical Representative (LTR)	8
13.1 Local Entity	8
13.2 Independent LTR	9
13.3 Employee LTR	9
13.4 LTR from External CBTL.....	9
14 Tutor CBTL.....	9
15 Subcontractor	9
16 Factory	9
17 Factory Surveillance	9
17.1 Initial Assessment.....	9
17.2 Pre Certification Assessment	9
17.3 Post Certification Assessment.....	9
17.4 Factory Surveillance	9
18 IECEE Factory Inspector	9
19 Registered Factory Surveillance Peer Assessor (RFPA)	10
20 Factory Inspection Trainer	10
21 Standards used in the IECEE Schemes	10
22 Acceptance of Standards for a NCB.....	10
23 National Differences	10
24 Harmonized standard	10
25 Standard Technically equivalent to IEC Standard	10
26 Scope of NCB and its associated CBTL(s).....	10

- 27 Extension of scope 10
- 28 Test Report Form (TRF) 11
- 29 TRF Originator..... 11
- 30 CB Test Certificate (CBTC)..... 11
- 31 CB Test Report (CBTR) 11
- 32 Conformity Assessment Certificate (CAC)..... 11
- 33 Conformity Assessment Resume (CAR)..... 11
- 34 Certification System 1a..... 12
- 35 Certification System 5..... 12
- 36 Component..... 12
 - 36.1 Component Acceptance Matrix..... 12
- 37 Certification Documentation..... 12
- 38 Factory Surveillance Documentation..... 12
- 39 Product Family 13

FOREWORD

Scope

To be defined.

Document Owner

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

History of changes

Date	Brief summary of changes
2016-06-01	The majority of changes are due to the change from MTL to CTF program. The following clauses were updated: Clause 1, 13 to 15, previous 17 (now 13 after renumbering). The following clauses were deleted: 10

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

1 Acronyms

Acronym	Description
AAR	Annual Re-Assessment Report
BATT	Batteries (IECEE Standard Category)
BoA	IECEE Board of Appeals
CAB	IEC Conformity Assessment Board
CABL	Cables and Cords (IECEE Standard Category)
CAC	Conformity Assessment Certificate
CAG	Chair's Advisory Group
CAP	Capacitors as components (IECEE Standard Category)
CAR	Conformity Assessment Resume
CASCO	ISO Conformity Assessment Committee
CB	Certification Body
CB Scheme	IECEE Scheme – Type test
CB-FCS	CB Full Certification Scheme – surveillance and re-testing
CBTC	CB Test Certificate
CBTR	CB Test Report
CBTL	CB Testing Laboratory
CE	European Conformity
CENELEC	European Committee for Electrotechnical Standardization
CFS	Committee for Factory Surveillance
CMC	IECEE Certification Management Committee
CONT	Switches for appliances and automatic controls for electrical household appliances (IECEE Standard Category)
CTF	Customers' Testing Facilities
CTL	IECEE Committee of Testing Laboratories
DA	Draft Agenda
DFA	Document For Approval
DL	Decision List
DSH	Decision Sheet
DV	Document for voting
E3	Energy Efficiency
EAR	Extension Assessment Report
EEPCA	European Electrical Products Certification Association
ELVH	Electric Vehicles
EMC	Electromagnetic Compatibility (IECEE Standard Category)
EN	European Standard
ETF	IECEE Expert Task Force
FAR	Follow-up Assessment Report
FSB	Factory Surveillance Body
FSS	Factory Surveillance Service
GD	Group Differences
HOUS	Household and similar equipment (IECEE Standard Category)
HSTS	IECEE Hazardous Substances Testing Service
I/R	Issuing and Recognising
IAF	International Accreditation Forum
IAR	Initial Assessment Report
ILAC	International Laboratory Accreditation Cooperation
INDA	Industrial Automation
INF	Document for Information
INST	Installation accessories and connection devices (IECEE Standard Category)
LITE	Luminaires (IECEE Standard Category)
LTR	Local Technical Representative
MB	IECEE Member Body
MEAS	Measurement, Control and Laboratory equipment (IECEE Standard Category)

Acronym	Description
MED	Electrical equipment for medical use (IECEE Standard Category)
MISC	Miscellaneous (IECEE Standard Category)
MoU	Memorandum of Understanding
N/A	Not Applicable
N/E	Not Evaluated *Note: Its use is limited to collateral standards for medical equipment.
NCB	National Certification Body
NCR	Non Conformity Report
OD	Operational Document
OFF	IT and office equipment (IECEE Standard Category)
OSM	Operational Staff Meeting
PAC	IECEE Peer Assessment Committee (previously ACAG)
PDSH	Provisional Decision Sheet
POW	Low voltage, high power switching equipment (IECEE Standard Category)
PROT	Installation protective equipment (IECEE Standard Category)
PSC	IECEE Policy and Strategy Committee
Q	Questionnaire
R	Recognising
RAR	Re-assessment Report
RCMC	Report to the Certification Management Committee
RD	Ruling Document
RLAR	Re-Location Assessment Report
RM	Report of Meeting
RQ	Report on Questionnaire
SAFE	Safety transformers and similar equipment (IECEE Standard Category)
SPTL	Specialized Testing Laboratory
STR	Statement of Test Results
TOOL	Portable tools (IECEE Standard Category)
TOYS	Electric Toys (IECEE Standard Category)
TRF	Test Report Form
TRON	Electronics, entertainment (IECEE Standard Category)
WG	Working Group

2 Operational Documents

Normative documents approved by the CMC and used to cover the various operations within the CB Scheme or CB-FCS, such as applications, assessments, Test Report Format, etc.

The Operational Documents are used in conjunction with the IECEE Basic Rules and Rules of Procedure.

3 National Certification Body (NCB)

3.1 Recognizing NCB

NCB which is, or has been appointed by, a Member Body of the IECEE, and accepted according to the IECEE Rules, and which is prepared to recognize CB Test Certificates for specified IEC standards as a basis for national certification or approval.

3.2 Issuing and Recognizing NCB

Recognizing NCB which has also been accepted according to the IECEE Rules for issuing CB Test Certificates for specified standards.

3.3 NCB “A”

Issuing and Recognizing NCB National Certification Body to which an Applicant first applies to obtain:

- a CB Test Certificate and a CB Test Report (CB Scheme)

- a Conformity Assessment Certificate and a Conformity Assessment Report (CB-FCS)

In the field of Factory Surveillance Service, NCB “A” is also identified as the Issuing Body for Factory Surveillance Reports.

3.4 NCB “B”

NCB to which an applicant successively applies to be granted its certification mark, or approval, making use of the documents issued by the NCB “A”, mentioned in the above definition.

In the field of Factory Surveillance NCB “B” is also identified as the Recognizing Body for Factory Surveillance Reports issued by an NCB “A”.

4 CB Factory Surveillance Body (CB-FSB)

A Factory Surveillance Body which, after having been proposed as a candidate by an Issuing and Recognizing NCB, and which, after having been successfully assessed according to the Rules of Procedure (IECEE 02-3) is accepted for this service.

A CB-FSB is a NCB itself or an associated CBTL with FSS capabilities carrying out initial assessment and factory surveillance under responsibility of the NCB.

5 Applicant

A firm or a person who applies

- to an Issuing and Recognizing NCB (NCB “A”) for obtaining a CB Test Certificate (CBTC) or a Conformity Assessment Certificate (CAC) or a Factory Surveillance Documentation, or all of the above;
- to a Recognizing NCB or Issuing and Recognizing NCB (NCB “B”) for national certification/ approval on the basis of a CBTC or CAC or Factory Surveillance Documentation, or all of the above.

Note: The applicant is the holder of the CBTC and associated CBTR, or a CAC and associated CAR, or Factory Surveillance Documentation.

6 CB Testing Laboratory (CBTL)

A testing laboratory which, after having been proposed as a candidate by an Issuing and Recognizing NCB, and which, after having been successfully assessed according to these Rules, is accepted into the CB Scheme and/or CB-FCS.

Note: A new candidate CBTL can also be proposed by a Recognizing NCB preparing to become an Issuing and Recognizing NCB.

7 Specialized Testing Laboratory (SPTL)

A laboratory that is a dedicated testing facility conducting highly specialized testing requiring test equipment that is very expensive to procure, maintain and calibrate, and which might otherwise be used infrequently.

7.1 Supervising CBTL

An accepted CB Testing Laboratory, with a defined scope, appointed by the NCB to manage and supervise the operation of a SPTL.

8. Manufacturer

An organisation, situated at a stated location or stated locations, that carries out or controls such stages in the process of bringing a product to the market as manufacture, assessment, verification, handling and storage of a product.

A Manufacturer has full responsibility for continued compliance of the product with the relevant requirements and undertakes all obligations in that connection.

9. Customer

For the purpose of the CTF Program, a Customer is the Applicant.

10. Customer's Testing Facility (CTF)

A CTF is a testing laboratory that has been recognized within the CB Scheme to participate in the TPU CTFs program for specified standards and/or tests within those standards.

- a) a CTF shall be operated by a legal entity that has full responsibility for continued compliance of the CTF with the relevant requirements of ISO/IEC 17025 and IECEE Operational Documents.
- b) a CTF must not carry out testing, in the CB scheme, for other product suppliers (e.g.: customers, manufacturers, producers, sellers, distributors, retailers) unless the legal entity is under contract for producing or assembling those products.
- c) a CTF shall not provide external commercial design consultancy.

11 Ownership of Customer's Testing Facility (CTF)

The legal entity, owner of the CTF, shall comply with the following pre-requisite criteria:

- a) having substantial business interest in and liability for the product
- b) having reputation invested in the product through e.g.: producing for another brand name owner, branding its own Mark, own trade Marks
- c) having responsibility and the means for ensuring compliance of the product with the requirements of the standards
- d) having a structure that ensures impartiality when reporting results of the testing

Consequently:

- A testing laboratory of a Contract Manufacturer can serve as a CTF.
- An independent (third party) laboratory is not permitted to operate as a CTF.

12 Assessment

Systematic verification of compliance with the requirements detailed in this procedure and other relevant IECEE operational documents. Assessments may be Initial, Annual, combined with on-site CTF activities, or Re-assessments.

- Initial CTF assessment means verification of all essential parameters (see OD-2025) needed to ensure reliable and acceptable data. (Applies to all Stages of the progression).
- Annual CTF assessment means verification of parameters (see OD-2025) needed to ensure reliable and acceptable data. (Applies to Stage 3 and 4 of the progression).
- On-site CTF activities are used to re-validate previous assessment reports, and that means verifying only the parameters that have changed since the previous assessment, and those that impact the reliability of the data. (See Annex C2.) (Applies to all Stages of the progression.)
- Re-Assessment means re-validating of all essential parameters (see OD-2025) needed to ensure reliable and acceptable data.

13 Local Technical Representative (LTR)

A specified, competent person, operating under the responsibility of a NCB, who locally carries out the required on-site CTF activities, according to the relevant IECEE Operational Documents.

13.1 Local Entity

A local entity is an organization which supports the operation of LTRs, where relevant. The Local Entity is independent from any Manufacturer, Manufacturer's agent or agency.

13.2 Independent LTR

An independent LTR is a person which is not employed by the NCB or its CBTLs and is operating in accordance with Annex C. This person has an LTR agreement with the NCB and is operating according to this OD. See Annex C.

13.3 Employee LTR

An employee LTR is a person employed by the NCB or CBTL under same corporate structure and operating in accordance with Annex C.

13.4 LTR from External CBTL

It is a person employed by a CBTL outside of the corporate structure of its NCB, and operating in accordance with Annex C. This person has an LTR agreement with the NCB.

14 Tutor CBTL

It is a CBTL responsible for the initial qualification and the on-going technical competence of a LTR, in specific product categories and standards.

15 Subcontractor

A supplier to a service organization in a contractual situation.

16 Factory

The location at which the product is produced or assembled and:

- factory surveillance is established by NCB “A” or NCB “B” in the CB Scheme or CB-FCS, or
- routine tests are performed by the factory, and initial assessment and factory surveillance are carried out by a CB-FSB in the Factory Surveillance Service.

17 Factory Surveillance

17.1 Initial Assessment

A factory assessment performed the first time in a factory location where certified products are going to be produced or are already in production.

It can be done as Pre Certification Assessment or as Post Certification Assessment or both.

17.2 Pre Certification Assessment

A factory assessment performed the first time in a factory location where certified products are going to be produced. It is performed before production of certified products starts.

17.3 Post Certification Assessment

A factory assessment performed the first time in a factory location where certified products are already in production. It is performed when production of certified products is already running.

17.4 Factory Surveillance

A factory surveillance performed periodically after finishing the Initial Assessment(s). It shall be scheduled regularly to visit a factory location where certified products are in production. It is performed when production of certified products is running.

Note: In other schemes it is also known as “Surveillance Inspection” or “Follow-up Surveillance”.

18 IECEE Factory Inspector

A specialist for Factory Surveillance duly qualified for a specified scope and registered at the IECEE secretariat.

19 Registered Factory Surveillance Peer Assessor (RFPA)

A specialist of Factory Surveillance that is after nomination by its responsible NCB and registration by the IECEE Secretariat acting in the peer assessment program.

20 Factory Inspection Trainer

A specialist of Factory Surveillance being very familiar with the targets and contents of the Factory Surveillance Process acting as trainer in the training courses organized by the IECEE Secretariat.

21 Standards used in the IECEE Schemes

The IECEE is based on the use of specific IEC standards for electrotechnical equipment and components accepted by the CMC for use in the IECEE.

22 Acceptance of Standards for a NCB

The decision by the IECEE Secretariat to accept a formal declaration made by a NCB to the IECEE Secretariat that the NCB accepts the relevant Standards (already used in the IECEE Scheme) which it wishes to have in its recognized scope, as the basis for the national certification.

23 National Differences

Those requirements or test parameters in the corresponding national standard which, when applied to equipment complying only with the standard accepted for use in the IECEE, might entail noncompliance of that equipment with the relevant national standard.

Note 1: When a requirement in the IEC standard is not implemented in the corresponding national standard, that is also a national difference.

Note 2: Those restrictive requirements in a national standard, which do not deviate from the criteria included in the corresponding standard accepted for use in the IECEE, but which limit the possibility to offer the relevant equipment for sale in the country concerned, are also considered to be national differences.

24 Harmonized standard

A standard that is nationally recognized as a standard harmonized with IEC and for which there are published and readily available National or Regional Differences from the IEC requirements.

25 Standard Technically equivalent to IEC Standard

Technically equivalent standard means that even though the national standard is not officially declared as harmonized with the IEC requirements, all parameters have either the same or more stringent requirements (as declared by the NCB/Member Body).

26 Scope of NCB and its associated CBTL(s)

The standards for which the NCB and its associated CBTL(s) have been formally accepted by the IECEE.

Note 1: The scope of the NCB and its associated CBTLs is published on the IECEE website.

Note 2: The scope of the NCB is the sum of the scopes of its CBTLs.

27 Extension of scope

A formal application made by the NCB to the IECEE Secretariat, with copy to the responsible Member Body of the IECEE for that NCB, seeking the extension of its scope as a Recognizing or Issuing/Recognizing Body to declared standards.

28 Test Report Form (TRF)

A blank test report template prepared by a TRF originator according to the relevant Operational Document.

29 TRF Originator

A NCB appointed by IECEE to develop specific Test Report Form(s).

30 CB Test Certificate (CBTC)

A document used in the CB Scheme to provide evidence that representative specimens of a product were fully tested for compliance with the requirements of the relevant IEC standards accepted for use in the IECEE, and were found to be in conformity with those standards.

A CBTC in conjunction with a CB Test Report is used as the means for mutual recognition of test results.

A CB Test Certificate is valid only when the relevant CB Test Report (in agreed harmonised form, if available) is attached.

31 CB Test Report (CBTR)

A report, utilizing the appropriate TRF, containing the results of a product investigation, measurement and test data, and all relevant attachments.

A CB Test Report covers the relevant test results, according to the requirements of the standard(s), including national differences, where requested, and all information necessary for identification of the product, such as type designation, ratings, description and photographs.

32 Conformity Assessment Certificate (CAC)

A CB-FCS Conformity Assessment Certificate is a document, issued by a CB-FCS Member NCB, used to inform other NCBs, in conjunction with the attached Conformity Assessment Resume, that, in accordance with the CB-FCS Rules of Procedures

- representative specimens of a product were fully tested for compliance with the requirements of the relevant IEC standards accepted for use in the IECEE, and were found to be in conformity with those standards, and
- the factory quality system has been fully evaluated and meets all applicable requirements.

A Conformity Assessment Certificate is valid only when the relevant Conformity Assessment Resume (in agreed harmonised form, if available) is attached.

33 Conformity Assessment Resume (CAR)

The Conformity Assessment Resume is a complete packet of product and factory information developed by the NCB "A" and made available to the NCB "B" by the applicant. It includes a resume of the following conformity assessment details (to demonstrate that the product/components and the factory quality system have been fully evaluated and meet all applicable requirements):

For the product:

- a) Information including product description, product test results, observations, National Differences, etc.);
- b) Any additional information required by the NCB "B" (if applicable and requested by the applicant).

For the factory:

- a) Initial or Surveillance Factory Audit Report, as applicable;
- b) Description of the arrangements made by NCB "A" to ensure ongoing compliance of the product with the requirements (e.g. copy of the license).

34 Certification System 1a

(See ISO/IEC 17067)

This system includes product testing of one or more product samples. A CBTC is given to each product represented by the tested sample(s).

This certification system includes the following:

- samples requested by the certification body (NCB);
- determination of characteristics by testing or assessment (CBTL);
- evaluation of the test report or assessment reports;
- decision and issuance of CBTC by the NCB;

35 Certification System 5

(See ISO/IEC 17067)

This system includes product testing and assessment of the involved quality system.

Surveillance of the quality system is conducted and samples of the product may be taken from either the market or the point of production, or both, and are assessed for ongoing conformity.

This certification system includes the following:

- samples requested by the certification body (NCB);
- determination of characteristics by testing or assessment (CBTL);
- initial factory assessment of the manufacturing process by the NCB or CB-FSB;
- evaluation of the test report and the initial factory assessment reports issued by the NCB;
- decision and issuance of CBTC by the NCB;
- surveillance of the quality system and the production process of the factory;
- re-testing or inspection of samples from the factory or the open market, or both.

36 Component

A part or a subassembly intended to be installed into an end product in a factory by the end-product manufacturer. Some examples are: switches for appliances, capacitors, filters, fuseholders, build-in power supply, internal CD Rom or hard drive, and similar.

36.1 Component Acceptance Matrix

A database containing compilation of IECEE component acceptance practices by the NCBs participating in the IECEE.

37 Certification Documentation

Evidence of certification – such as a certificate, a license, a certification mark, etc...

38 Factory Surveillance Documentation

The Factory Surveillance Documentation is compiled by the NCB "A".

It includes the following to demonstrate that the manufacturing process and quality system have been evaluated and meet all applicable requirements:

- a) Initial Assessment or Factory Surveillance Report
- b) Product Identification Document (PID)
- c) Annexes with all covered requirements / information including factory surveillance differences.

39 Product Family

A maximum configuration, a list of components/sub-assemblies plus a description of how the models are constructed from the maximum configuration and list.

All models which are included in the family typically have common design, construction, parts, or assemblies essential to ensure conformity with applicable requirements.

For the same products, there may be differences in defined product families that are contingent upon the nature or type of compliance criteria applied (e.g. safety, EMC, performance, efficacy, etc.).

If a product standard defined a product family, in the context of the specific standard, this definition takes over.

INTERNATIONAL
ELECTROTECHNICAL
COMMISSION

3, rue de Varembé
PO Box 131
CH-1211 Geneva 20
Switzerland

Tel: + 41 22 919 02 11
info@iec.ch
www.iec.ch

IEC SYSTEM OF CONFORMITY ASSESSMENT
SCHEMES FOR ELECTROTECHNICAL
EQUIPMENT AND COMPONENTS (IECEE)

IECEE Secretariat c/o IEC
3, rue de Varembé
PO Box 131
CH-1211 Geneva 20
Switzerland

Tel: + 41 22 919 02 11
secretariat@iecee.org
www.iecee.org