



**IECEE OD-2007**

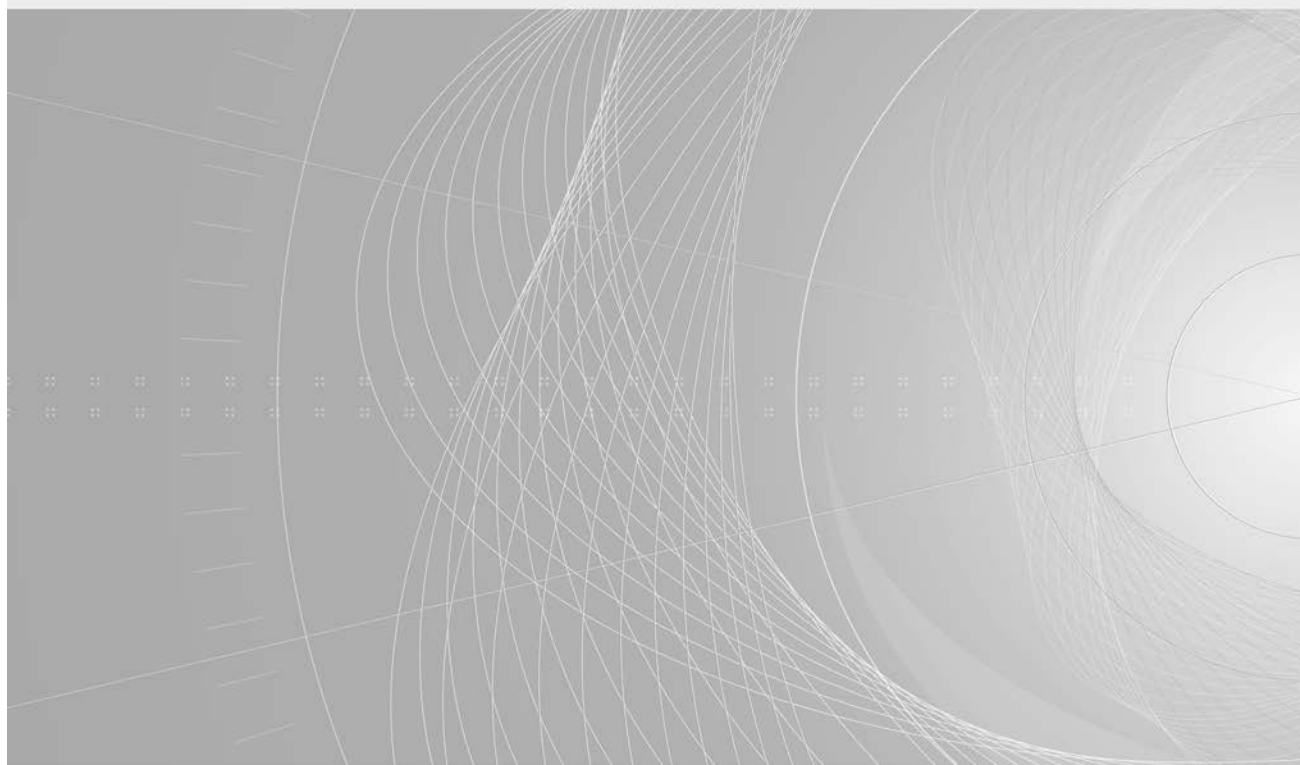
Edition 3.3 2016-06-01

# **IECEE OPERATIONAL DOCUMENT**

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

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**Documentation for Applications**





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# IECEE OPERATIONAL DOCUMENT

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

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**Documentation for Applications**

INTERNATIONAL  
ELECTROTECHNICAL  
COMMISSION

PRICE CODE

**ZZ**

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## Scope

This Operational Document provides checklists of the material to be provided to the IECEE Secretariat, in electronic compatible format, when NCBs/CBTLs are seeking IECEE Membership, scope extension and further subjected to Re-assessments.

A list of documents that must be made available by the NCBs/CBTLs to the Assessment Team during the on-site assessment can be found in OD-2006

## Document Owner

PAC

## History of changes

Date	Brief summary of changes
2016-06-01	Clause 4 has been reworked following the publication of OD-2021 Edition 2.0 The following clauses have been updated: 1, 3, 4, 7 and 10.

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

## 1 New candidate NCB and associated CBTL/SPTL(s)

Documentation to be provided prior to the assignment of the Assessment Team

A CBTL/SPTL that has ceased its activities in the IECEE, needs to make a full application for candidate CBTL/SPTL, and needs to undergo an initial assessment to be reinstated.

1	Application in writing from the Member Body of the country where the NCB is located	<input type="checkbox"/>
2	Application in writing from the candidate NCB	<input type="checkbox"/>
3	OD-2010, Application form for candidate NCBs	<input type="checkbox"/>
4	OD-2011, Application form for candidate CBTL/SPTLs	<input type="checkbox"/>
5	Annex 1B of OD-2004 & OD-2005 (Annex 1C for SPTLs), Declaration of Certification and Testing Experience	<input type="checkbox"/>
6	OD-2024, List of Testing Equipment relevant to the scope for which the Recognition is sought	<input type="checkbox"/>
7	OD-2016, Check List for NCBs	<input type="checkbox"/>
8	OD-2017, Check List for CBTL/SPTLs	<input type="checkbox"/>
9	Objective evidence that the candidate CBTL/SPTL(s): <ul style="list-style-type: none"> <li>– is an integral part, such as a department, division, branch or subsidiary of the relevant NCB, or</li> <li>– is under the complete technical and legal control of the relevant NCB, or</li> <li>– a written agreement clearly outlining the commitment, duty and responsibility of both the candidate CBTL/SPTL(s) and the relevant NCB to follow IECEE Rules.</li> </ul>	<input type="checkbox"/>
10	Organization Charts of the candidate NCB/CBTL/SPTL(s)	<input type="checkbox"/>
11	If the candidate NCB/CBTL/SPTL(s) are accredited: <ul style="list-style-type: none"> <li>– Accreditation Certificate(s) and related scope.</li> </ul> If the candidate NCB/CBTL/SPTL(s) are not accredited: <ul style="list-style-type: none"> <li>– <a href="#">Annex A</a> of OD-2007.</li> </ul>	<input type="checkbox"/>
12	When applicable, a list of <b>National Differences</b> for each standard, which will be requested by the responsible NCB when recognizing CB Test Certificates for the purpose of granting its Certification Mark	<input type="checkbox"/>
13	When applicable, a list of <b>Regulatory requirements</b> for each standard, which will be requested by the responsible NCB when recognizing CB Test Certificates for the purpose of granting its Certification Mark	<input type="checkbox"/>
14	OD-2004 and OD-2005 duly “pre-filled in” to the best extent possible Note: It is the role of the Lead Assessor to complete the Assessment Report(s) however, for the sake of efficiency and to save time, it is desirable that the assessed NCB/CBTL/SPTL(s) pre-completes these ODs with as much information as possible.	<input type="checkbox"/>

## 2 New candidate NCB

### 2 a) Issuing and Recognizing NCB

Documentation to be provided prior to the assignment of the Assessment Team

1	Application in writing from the Member Body of the country where the NCB is located	<input type="checkbox"/>
2	Application in writing from the candidate NCB	<input type="checkbox"/>
3	OD-2010, Application form for candidate NCBs	<input type="checkbox"/>
4	Annex 1B of OD-2004, Declaration of Certification Experience	<input type="checkbox"/>
5	OD-2016, Check List for NCBs applying for the first time	<input type="checkbox"/>
6	If the candidate NCB is accredited: – Accreditation Certificate(s) and related scope. If the candidate is not accredited: – <a href="#">Annex A</a> of OD-2007.	<input type="checkbox"/>
7	Organization Charts of the candidate NCB	<input type="checkbox"/>
8	When applicable, a list of <b>National Differences</b> for each standard, which will be requested by the responsible NCB when recognizing CB Test Certificates for the purpose of granting its Certification Mark	<input type="checkbox"/>
9	When applicable, a list of <b>Regulatory requirements</b> for each standard, which will be requested by the responsible NCB when recognizing CB Test Certificates for the purpose of granting its Certification Mark	<input type="checkbox"/>
10	OD-2004 duly “pre-filled in” to the best extent possible  Note: It is the role of the Lead Assessor to complete the Assessment Report(s) however, for the sake of efficiency and to save time, it is desirable that the assessed NCB/CBTL/SPTL(s) pre-completes these ODEs with as much information as.	<input type="checkbox"/>

**2 b) Recognizing NCB only**

Documentation to be provided for administrative assessment

1	Application in writing from the Member Body of the country where the NCB is located, confirming that the candidate NCB is a nationally recognized certification body.	<input type="checkbox"/>
2	Declaration in writing from the candidate NCB including: <ul style="list-style-type: none"> <li>• Confirmation of compliance with ISO/IEC 17065 or copy of Accreditation Certificate by an IAF MLA signatory</li> <li>• Statement of readiness to accept CB Test Certificates for issuance of National Certification and of compliance with the IECEE Rules and Procedures.</li> <li>• OD-2010, Application form for candidate NCBs</li> </ul>	<input type="checkbox"/>
3	When applicable, a list of <b>National Differences</b> for each standard, which will be requested by the responsible NCB when recognizing CB Test Certificates for the purpose of granting its Certification Mark	<input type="checkbox"/>
4	When applicable, a list of <b>Regulatory requirements</b> for each standard, which will be requested by the responsible NCB when recognizing CB Test Certificates for the purpose of granting its Certification Mark	<input type="checkbox"/>



**3 New candidate CBTL/SPTL only**

Documentation to be provided prior to the assignment of the Assessment Team

1	Application in writing from the Member Body of the country where the NCB is located	<input type="checkbox"/>
2	Application in writing from the candidate's NCB which is copied to the Member Body of the country where the NCB is located	<input type="checkbox"/>
3	OD-2011, Application form for candidate CBTL/SPTL	<input type="checkbox"/>
4	Annex 1B of OD-2005 (Annex 1C for SPTLs), Declaration of Testing Experience	<input type="checkbox"/>
5	OD-2024, List of Testing Equipment relevant to the scope for which the Recognition is sought	<input type="checkbox"/>
6	OD-2017, Check List for CBTL/SPTLs	<input type="checkbox"/>
7	Objective evidence that the candidate CBTL/SPTL: <ul style="list-style-type: none"> <li>– is an integral part, such as a department, division, branch or subsidiary of the relevant NCB, or</li> <li>– is under the complete technical and legal control of the relevant NCB, or</li> <li>– a written agreement clearly outlining the commitment, duty and responsibility of both the candidate CBTL/SPTL and the relevant NCB to follow IECEE Rules.</li> </ul>	<input type="checkbox"/>
8	Organization Charts of the candidate CBTL/SPTL	<input type="checkbox"/>
9	If the candidate CBTL/SPTL is accredited: <ul style="list-style-type: none"> <li>– Accreditation Certificate(s) and related scope.</li> </ul> If the candidate CBTL/SPTL is not accredited: <ul style="list-style-type: none"> <li>– <a href="#">Annex A</a> of OD-2007.</li> </ul>	<input type="checkbox"/>
10	OD-2005 duly "pre-filled in" to the best extent possible Note: It is the role of the Lead Assessor to complete the Assessment Report(s) however, for the sake of efficiency and to save time, it is desirable that the assessed NCB/CBTL/SPTL(s) pre-completes these ODs with as much information as.	<input type="checkbox"/>

**4 NCB/CBTL/SPTL(s) seeking extension for New Standards falling under a Product Category already in their scope, including:**

- **New (stand-alone) Standards**
- **New Part 2 Standards**
- **New Editions or Amendments**

Documentation to be provided prior to the processing of the application.

1	Application in writing from the candidate NCB which is copied to the Member Body of the country where the NCB is located Note: Also in the case when the application concerns only an associated CBTL	<input type="checkbox"/>
2	OD-2021, Claim of Capability and supporting documentation as checked off in the Claim of Capability  IMPORTANT! The purpose of the Claim of Capability is to consent the Applicant NCB to provide tangible arguments that the scope extension request could lead to a partial or complete administrative acceptance. In such cases the Applicant NCB could requests due consideration over the effective competence of the staff through the use of standard(s) falling under a different Product Category which have objective similarities with those for which the extension is sought, and for CBTLs and SPTLs the effective possession of the Required testing/measuring equipment as per the CTL Lists.	<input type="checkbox"/>

## 5 Extension of scope for NCB/CBTL/SPTL(s) for Standards/Product Categories not under their recognized scope

Documentation to be provided prior to the assignment of the Assessment Team

1	Application in writing from the candidate NCB which is copied to the Member Body of the country where the NCB is located	<input type="checkbox"/>
2	Annex 1B of OD-2004 & OD-2005 (Annex 1C for SPTLs), Declaration of Certification and Testing Experience	<input type="checkbox"/>
3	OD-2024, List of Testing Equipment relevant to the scope for which the Recognition is sought	<input type="checkbox"/>
4	If the NCB/CBTL/SPTL(s) are accredited: – Accreditation Certificate(s) and related scope. If the NCB/CBTL/SPTL(s) are not accredited: – <a href="#">Annex A</a> of OD-2007.	<input type="checkbox"/>
5	When applicable, a list of <b>National Differences</b> for each standard, which will be requested by the responsible NCB when recognizing CB Test Certificates for the purpose of granting its Certification Mark	<input type="checkbox"/>
6	When applicable, a list of <b>Regulatory requirements</b> for each standard, which will be requested by the responsible NCB when recognizing CB Test Certificates for the purpose of granting its Certification Mark	<input type="checkbox"/>
7	If assessment is necessary, OD-2004 and OD-2005 duly “pre-filled in” to the best extent possible  Note: It is the role of the Lead Assessor to complete the Assessment Report(s) however, for the sake of efficiency and to save time, it is desirable that the assessed NCB/CBTL/SPTL(s) pre-completes these ODs with as much information as possible.	<input type="checkbox"/>

**6 Re-Assessment of NCB and Associated CBTL/SPTL(s)**

Documentation to be provided no later than six weeks before the re-assessment date.

Should the NCB/CBTL/SPTL request that Scope Extension Assessment take place in conjunction with the Re-assessment, documentation shall be provided 3 months in advance of the set re-assessment date.

1	<p>If changes have been made since the last re-assessment:</p> <ul style="list-style-type: none"> <li>- OD-2016, Check List for NCBs</li> </ul> <p>If no changes occurred since the last re-assessment:</p> <ul style="list-style-type: none"> <li>- <a href="#">Annex A</a> of OD-2007</li> </ul>	<input type="checkbox"/>
2	<p>If changes have been made since the last re-assessment:</p> <ul style="list-style-type: none"> <li>- OD-2017, Check List for CBTL/SPTLs</li> </ul> <p>If no changes occurred since the last re-assessment:</p> <ul style="list-style-type: none"> <li>- <a href="#">Annex A</a> of OD-2007</li> </ul>	<input type="checkbox"/>
3	<p>If the NCB/CBTL/SPTL(s) are accredited:</p> <ul style="list-style-type: none"> <li>- Accreditation Certificate(s) and related scope.</li> </ul> <p>If the NCB/CBTL/SPTL(s) are not accredited:</p> <ul style="list-style-type: none"> <li>- <a href="#">Annex A</a> of OD-2007.</li> </ul>	<input type="checkbox"/>
4	<p>Relevant parts of OD-2004 and OD-2005 duly “pre-filled in” to the best extent possible</p> <p>Note: It is the role of the Lead Assessor to complete the Assessment Report(s) however, for the sake of efficiency and to save time, it is desirable that the assessed NCB/CBTL/SPTL(s) pre-completes these ODs with as much information as possible.</p>	<input type="checkbox"/>
5	For FSB NCBs only OD-4006	<input type="checkbox"/>

## 7 Transfer of CBTL to a different responsible NCB for one or more Product Categories

Documentation to be provided prior to the application being processed

A CBTL/SPTL that has ceased its activities in the IECEE, needs to make a full application for candidate CBTL/SPTL, and needs to undergo an initial assessment to be reinstated.

1	Application in writing from the candidate NCB which is copied to the Member Body of the country where the NCB is located and to the relevant CBTL	<input type="checkbox"/>
2	Information in writing from the current NCB informing that its responsibility over the CBTL will discontinue with a defined date which is copied to the relevant CBTL  Note: The contract agreement between the NCB and CBTL must have provision for termination of the contract. If the original NCB for whatever reason will not agree to end the cooperation with the CBTL, the date of termination of the contract will apply. In any case, the CBTL before transferring its activity to a new NCB shall complete all its current projects with the original NCB	<input type="checkbox"/>
3	Objective evidence that the CBTL/SPTL: – is an integral part, such as a department, division, branch or subsidiary of the relevant NCB, or – is under the complete technical and legal control of the relevant NCB, or – a written agreement clearly outlining the commitment, duty and responsibility of both the CBTL and the responsible NCB to follow IECEE Rules.  Note: Evidence of procedures for information dissemination between the CBTL and the new NCB and evidence of adequate procedures for the NCB control of the CBTL testing within the scheme shall be included.	<input type="checkbox"/>
4	Evidence of an assessment visit to the CBTL on behalf of the new NCB	<input type="checkbox"/>
5	In case of changes a new AD-003	<input type="checkbox"/>

Note: Upon completion the IECEE Secretariat will acknowledge the changes and notify the parties (NCBs & CBTL) about the new status of the CBTL and an article will be placed on the "What's New" area of the website.

## 8 Re-location of CBTL/SPTL

### Early notification to the IECEE Secretariat

Information about the intention to re-locate and expected time frame for completing the relocation should be provided to the IECEE Secretariat as soon as possible, but no later than 3 months before the re-location takes place.

Note: The contact information and address of the new location will appear in the IECEE website, as well as on the Acceptance Certificate after the re-location has taken place.

### Re-location assessment time line

The relocation assessment shall take place no later than 2 months after the re-location has been completed. The re-location assessment report shall be cleared no later than 6 months after the relocation date.

### Documentation to be provided

The organization is expected to provide information regarding any changes related to the re-location, including, but not limited to:

- Organization structure and staff
- Test equipment and facilities

Documentation to be provided no later than six weeks before the re-location assessment date.

1	<p>List of Testing Equipment in which changes have been made since relocation, containing information required in OD-2024</p> <p>Note: The assessment team will make a sampling of other test equipment lists prior to and during the assessment.</p>	<input type="checkbox"/>
2	<p>If changes have been made since the last re-assessment:</p> <ul style="list-style-type: none"> <li>– OD-2017, Check List for CBTL/SPTLs</li> </ul> <p>If no changes occurred since the last re-assessment: <a href="#">Annex A</a> of OD-2007</p>	<input type="checkbox"/>
3	<p>If the candidate CBTL/SPTL is accredited in the new location:</p> <ul style="list-style-type: none"> <li>– Accreditation Certificate(s) and related scope.</li> </ul> <p>If the candidate CBTL/SPTL is not yet accredited: <a href="#">Annex A</a> of OD-2007.</p>	<input type="checkbox"/>
4	<p>OD-2005 duly “pre-filled in” to the best extent possible, with the main emphasis on power supply distribution, environmental conditions in the lab, and similar issues that could be affected by the re-location. For section where there has been no change, CBTL can state “No change” with reference to the previous assessment report.</p> <p>Note: It is the role of the Lead Assessor to complete the Assessment Report(s) however, for the sake of efficiency and to save time; it is desirable that the assessed CBTL/SPTL(s) pre-completes the OD with as much information as possible.</p>	<input type="checkbox"/>
5	In case of changes a new AD-003	<input type="checkbox"/>

## 9 Re-location of NCB

### Early notification to the IECEE Secretariat

Information about the intention to re-locate and expected time frame for completing the re-location should be provided to the IECEE Secretariat as soon as possible, but no later than 3 months before the re-location takes place.

Note 1: The contact information and address of the new location will appear in the IECEE website, as well as on the Acceptance Certificate after the re-location has taken place.

Note 2: The re-location of the NCB requires only an administrative assessment.

### Administrative relocation assessment time line

The administrative relocation assessment shall take place no later than 2 months after the re-location has been completed.

### Documentation to be provided

The organization is expected to provide information regarding any changes related to the re-location, including, but not limited to:

- Organization structure and staff

Documentation to be provided no later than six weeks before the re-location assessment date.

1	<p>If changes have been made since the last re-assessment:</p> <ul style="list-style-type: none"> <li>– OD-2016, Check List for NCBs</li> </ul> <p>If no changes occurred since the last re-assessment:</p> <p><a href="#">Annex A</a> of OD-2007</p>	<input type="checkbox"/>
2	<p>If the candidate NCB is accredited in the new location:</p> <ul style="list-style-type: none"> <li>– Accreditation Certificate(s) and related scope.</li> </ul> <p>If the candidate NCB is not yet accredited:</p> <p><a href="#">Annex A</a> of OD-2007.</p>	<input type="checkbox"/>
3	<p>OD-2004 duly “pre-filled in” to the best extent possible. For section where there has been no change, the NCB can simply state “No change” if the information was provided in the last re-assessment report.</p> <p>Note: It is the role of the appointed Lead Assessor to review and complete the Assessment Report provided by the NCB. Any incomplete information should be provided to Lead assessor by correspondence or by teleconference.</p>	<input type="checkbox"/>
4	In case of changes a new AD-003	<input type="checkbox"/>

### 10 QMS Assessment of CBTLs/SPTLs

Documentation to be provided no later than six weeks before the assessment date

1	OD-2005 duly "pre-filled in" to the best extent possible  Note: It is the role of the Lead Assessor to complete the Assessment Report(s) however, for the sake of efficiency and to save time, it is desirable that the assessed CBTL/SPTL(s) pre-completes these ODs with as much information as possible.	<input type="checkbox"/>
2	If changes have been made since the last re-assessment: – OD-2017, Check List for CBTL/SPTLs  If no changes occurred since the last re-assessment:  <a href="#">Annex A</a> of OD-2007	<input type="checkbox"/>



**11 Application Factory Surveillance Body (FSB)**

1	Application in writing from the Member Body of the country where the FSB is located	<input type="checkbox"/>
2	Application in writing from the candidate FSB	<input type="checkbox"/>
3	OD-4006, Application form for candidate FSBs	<input type="checkbox"/>
4	Registration of at least one FSS-Inspector (Factory Surveillance Service-Inspector) providing AD 001 “Questionnaire for Assessors and Factory Inspectors”	<input type="checkbox"/>
5	AD 006, Table to declare Special requirements	<input type="checkbox"/>

**12 Required documentation for CTF Stage 4 Assessments**

#	Document	IAR	RAR	EAR
1	Annex 1 of OD-2025-B	✓	✓	✓
2	List of Testing Equipment relevant to the scope for which the Recognition is sought (e.g. by use of OD-2024)	✓		✓
3	A written agreement between NCB and CTF	✓		✓
4	Organization Charts of the CTF	✓	✓	✓
5	If the CTF is accredited, the Accreditation Certificate(s) and related scope	✓	✓	✓
6	OD-2025-B duly “pre-filled in” to the best extent possible	✓	✓	✓

Note: It is the role of the Lead Assessor to complete the Assessment Report(s) however, for the sake of efficiency and to save time, it is desirable that the assessed CTF pre-completes the Assessment Report(s) with as much information as possible.

**Annex A**  
**Declaration of documents not provided**

**CHECK LIST OD-2016 and OD-2017**

We hereby declare that no changes have occurred within the following \*NCB/\*CBTL/\*SPTL since last assessment/re-assessment and that the previous checklist OD-2016/OD-2017 is still valid:

\*NCB/\*CBTL/\*SPTL name (s):

\*Delete as appropriate

Address:

Date:

Signature:

**ACCREDITATION CERTIFICATE(S)**

We hereby declare that the following \*NCB/\*CBTL/\*SPTL is not formally accredited:

\*NCB/\*CBTL/\*SPTL name (s):

\*Delete as appropriate

Address:

Date:

Signature:

INTERNATIONAL  
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