



**IECEE OD-2007**

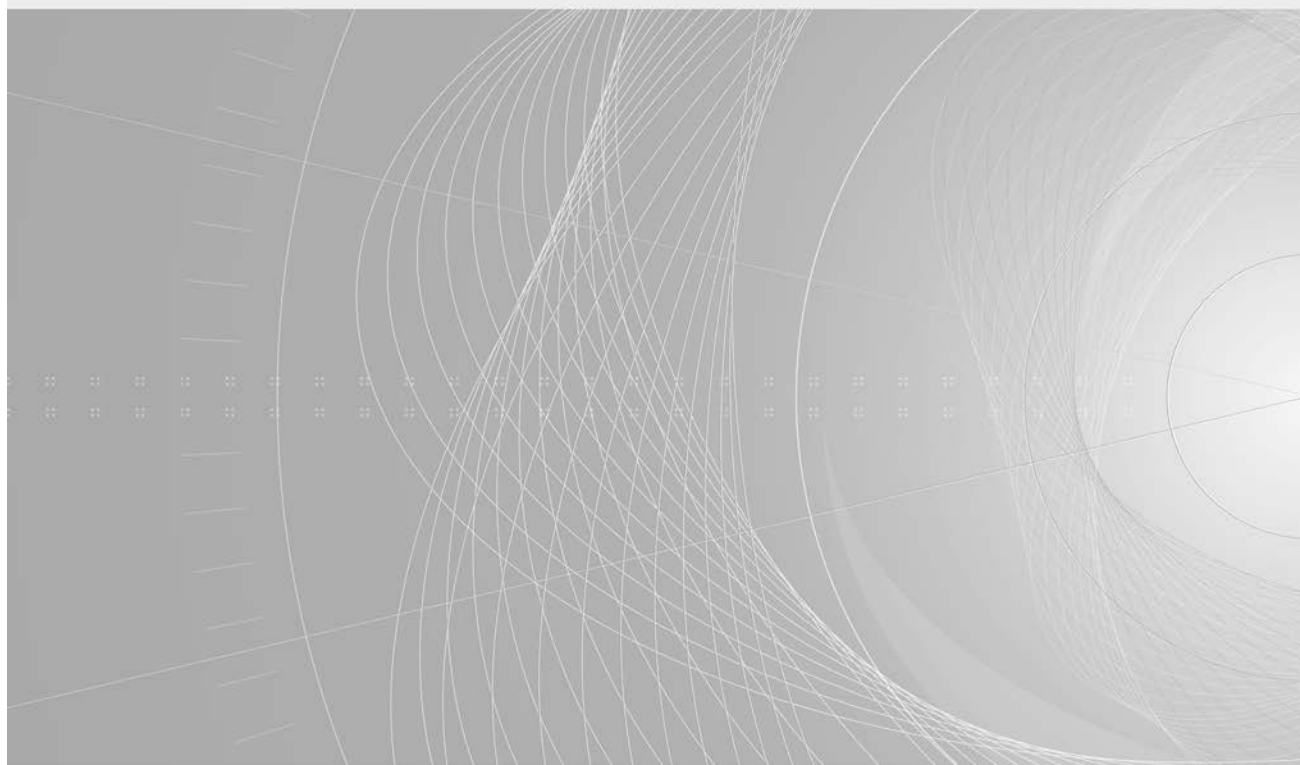
Edition 3.5 2018-06-05

# **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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## 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

Revision Date	Brief summary of changes
2018-02-14	<p>Clauses 1 and 3: addition of “accordance with the requirements of ISO/IEC 17025”.</p> <p>Clauses 4 and 5: addition of check-box for “R” declaration</p> <p>Clause 6: “Laboratory” added &amp; WG 3 proposals included</p> <p>Clause 12: Changed as per CMC Decision 66/2017, Recommendation A.6, OD-2048 has been split into F2 and F3 documents for the assessment reports, references updated.</p> <p>A new Annex B has been added for Clarifications on the application of OD-2007.</p>
2016-12-13	<p>Clauses 1, 3 and 6 have been modified to include proficiency testing program reporting</p> <p>Clause 4: the note has been clarified.</p> <p>Clause 11 has been updated with new FSB application requirements.</p>
2016-06-01	<p>Clause 4 has been reworked following the publication of OD-2021 Edition 2.0</p> <p>The following clauses have been updated: 1, 3, 4, 7 and 10.</p>

Effective date	Next maintenance due date
2018-06-05	2021-06-05

## 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	For candidate CBTL/SPTL: Summary of PTP reports of programs participated in accordance with the requirements of ISO/IEC 17025	<input type="checkbox"/>
13	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"/>
14	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"/>
15	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 ODs with as much information as possible.	<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	Summary of PTP reports of programs participated in accordance with the requirements of ISO/IEC 17025	<input type="checkbox"/>
8	Objective evidence that the candidate 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 candidate CBTL/SPTL and the relevant NCB to follow IECEE Rules.	<input type="checkbox"/>
9	Organization Charts of the candidate CBTL/SPTL	<input type="checkbox"/>
10	If the candidate CBTL/SPTL is accredited: – Accreditation Certificate(s) and related scope. If the candidate CBTL/SPTL is not accredited: – <a href="#">Annex A</a> of OD-2007.	<input type="checkbox"/>
11	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"/>



**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 <i>IMPORTANT! The purpose of the Claim of Capability is to enable the Applicant NCB to apply for administrative acceptance. In such cases the Applicant NCB could declare competence based on experience with other standard(s) falling under the same Product Category for which they are already accepted.</i>	<input type="checkbox"/>
3	NCB “R” declaration for the requested standards in the IECEE website.	<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"/>
8	NCB “R” declaration for the requested standards in the IECEE website.	<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	If changes have been made since the last re-assessment: – OD-2016, Check List for NCBs  If no changes occurred since the last re-assessment: – <a href="#">Annex A</a> of OD-2007	<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"/>
3	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"/>
4	CBTL/SPTL to provide a “Laboratory Program Participation Report” issued by the PTP Provider (per OD-5004) and any other relevant PTP programs participated in since the last assessment.	<input type="checkbox"/>
5	Relevant parts of 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	For FSB NCBs only OD-4006	<input type="checkbox"/>
7	NCB to provide “Electrical Program Participation Reports” for all CTF Stages 3/4 and all CTF Stages 1/2 that have participated in a IFM PTP, issued by the PTP Provider (per OD-5004).	<input type="checkbox"/>
8	NCB to provide a list of all active LTRs (Employee LTRs, External LTRs and Independent LTRs)	<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	List of Testing Equipment in which changes have been made since relocation, containing information required in OD-2024  Note: The assessment team will make a sampling of other test equipment lists prior to and during the assessment.	<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"/>
3	If the candidate CBTL/SPTL is accredited in the new location: – Accreditation Certificate(s) and related scope.  If the candidate CBTL/SPTL is not yet accredited: <a href="#">Annex A</a> of OD-2007.	<input type="checkbox"/>
4	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.  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.	<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 NCB responsible for the candidate FSB is located	<input type="checkbox"/>
2	Application in writing from the NCB responsible for the candidate FSB which is copied to the Member Body of the country where the NCB is located	<input type="checkbox"/>
3	OD-4011, Application form for candidate FSB	<input type="checkbox"/>
4	Annex 1 of OD-4006, Declaration of Surveillance Experience	<input type="checkbox"/>
5	Objective evidence that the candidate FSB: <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 FSB and the relevant NCB to follow IECEE Rules.</li> </ul>	<input type="checkbox"/>
6	Organization Charts of the candidate FSB	<input type="checkbox"/>
7	If the candidate FSB is accredited: Accreditation Certificate(s) and related scope.  If the candidate FSB is not accredited: Annex A of OD-2007.	<input type="checkbox"/>
8	OD-4006 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 FSB pre-completes this OD with as much information as possible.	<input type="checkbox"/>
9	AD 006, Table to declare Special requirements	<input type="checkbox"/>
10	Registration of at least one IECEE-Factory Inspector providing AD 001 “Questionnaire for Assessors and Factory Inspectors”	<input type="checkbox"/>



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

#	Document	IAR	RAR	EAR
1	Annex 1 of OD-2048-F3	✓	✓	✓
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-2048-F3 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:

## **Annex B**

### **Clarifications on the application of OD-2007**

Which section of OD-2007 applies when an NCB wishes to make an application to work with a CBTL/SPTL that is already operating in the IECEE?

1. If the CBTL/SPTL is already operating for another NCB, for the same product category (exemption categories such as PV, EMC, INDA) and the NCB already operates for this scope, section 7 for CBTL/SPTL transfer shall be applied. No on-site assessment is necessary.
2. For all other cases, section 5 for “Extension of scope for NCB/CBTL/SPTL (s) for Standards/Product Categories not under their recognized scope” shall be applied. An on-site assessment is required.

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