

# IECEE OPERATIONAL DOCUMENT

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

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## **CLAIM OF COMPETENCE**

PART 1: ADDITION OF NEW EDITIONS/AMENDMENT STANDARDS

PART 2: ADDITION OF STANDARDS WITHIN ACCEPTED CATEGORY

PART 3: JUSTIFICATION OF CONTINUED COMPETENCE FOR NCB/CBTL/SPTL

PART 4: JUSTIFICATION OF CONTINUED COMPETENCE FOR FSB



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## FOREWORD

### Document Owner

PAC

### History of changes

Revision Date	Brief summary of changes
<a href="#">2019-02-12</a>	<a href="#">Part 2 updated to include clarification and guidance</a> <a href="#">Secretariat actions and conclusions updated to include guidance on flexible scope</a>
2017-11-03	In Part 1 and 2, additional checkbox introduced for NCB declaration that “We have made the necessary NCB “R” declaration for the requested standards in the IECEE website.”
2016-12-15	Part 3 title amended Part 4 added IECEE Secretariat Actions and Conclusions updated
2016-06-01	Parts 2 and 3 have been clarified.

Effective date	Next maintenance due date
<del>2018</del> <a href="#">2019</a> -06-05	<del>2021</del> <a href="#">2022</a> -06-05

## Scope

The IECEE operates a Peer Assessment Program utilizing on-site assessments as the primary method of verifying the competence of its operating members and their adherence to the IECEE rules. To avoid redundant assessments where there is sufficient evidence of existing competence, the IECEE provides an administrative process for documenting and recognizing that competence.

Where IECEE recognition is granted through the administrative process, this information is provided for the subsequent re-assessment as “particular points to be noted”. If it is found that the declared competency is missing, the Assessment Team is required to issue an NCR and to notify the IECEE Secretariat. Other appropriate actions will be considered by the Secretariat.

Where this claim of competence cannot be applied according to the requirements of this OD, an on-site assessment is required, as per OD-2007.

### Check below relevant parts of the expansion request.

- Part 1** - For new editions and amendments of standards for which the NCB/CBTL/SPTL has been previously accepted, and which require no additional technical competence or test equipment. (Statement of Appointed Independent Experts not necessary)
- Part 2** - For additional Part 2 standards or other similar standards in a product category for which the NCB/CBTL/SPTL has already been accepted. (Statement of Appointed Independent Experts is necessary)
- Part 3** - Justification of continued competence - for reassessments where the NCB/CBTL/SPTL cannot provide evidence of sufficient experience. (Statement of Appointed Independent Experts not necessary)
- Part 4** - Justification of continued competence - for reassessments where the FSB cannot provide evidence of sufficient experience. (Statement of Appointed Independent Experts not necessary)

**Part 1: New editions or amendments of standards for which the NCB/CBTL/SPTL has already been accepted, and which require no additional technical competence and test equipment**

<b>Product Category</b>	<b>NCB</b> Already accepted standards relevant to this request	Requested scope extension	<b>CBTL/SPTL</b> Already accepted standards relevant to this request	Requested scope extension	<b>CBTL/SPTL</b> Already accepted standards relevant to this request	Requested scope extension

*Add additional sheets as necessary*

We declare that to our knowledge, we are capable to perform testing and certification to the standards or amendments according to the requested scope extension, and that they do not require:

- Any additional technical competence by the certification and/or laboratory staff
- Any additional testing equipment from the standard(s) for which we are already accepted
- We have made the necessary NCB “R” declaration for the requested standards in the IECEE website.

Authorized NCB Representative Name:	
Authorized NCB Signature:	
Date:	

**Part 2: For additional Part 2 standards or other similar standards in a product category for which the NCB/CBTL/SPTL has already been accepted, including new editions or amendments that require some additional test equipment and technical competence**

<u>N</u> <u>O.F</u>	<b>Product Category</b>	<b>NCB</b> Already accepted standards relevant to this request <u>(*)</u>	Requested scope extension	<b>CBTL/SPTL</b> Already accepted standards relevant to this request <u>(*)</u>	Requested scope extension	<b>CBTL/SPTL</b> Already accepted standards relevant to this request <u>(*)</u>	Requested scope extension
<u>1</u>							
<u>2</u>							
<u>3</u>							

(\*) may be a similar stand-alone standard, a similar particular part-2-standard (such as Part 2) or a Part-1 standard of the same series in the already accepted product category

We have made the necessary NCB “R” declaration for the requested standards in the IECEE website.

*Provide additional sheets as necessary*

**Required Testing/Certification Experience**

<u>N#No.</u>	Product Category	Standard <u>(**)</u>	Number Test Reports <u>/or</u> Certificates issued during the last three years <u>(**)</u>
<u>1</u>			<u>/</u>
<u>2</u>			<u>/</u>
<u>3</u>			<u>/</u>

\*(\*\*) Testing/certification experience for national/regional standards that are technically equivalent or reasonably harmonized with the equivalent IEC standard can be counted as experience if no experience can be demonstrated for the IEC standard.

If no At least one test reporting/certificate needs to be issued experience for each similar, technically equivalent the relevant standard in the scope of this application can be demonstrated, please complete the justification below.

Supporting Claim of Capability (Enter justification to support expansion)

State if certificates or test reports ~~to similar standards in the same product category have been issued~~ performed ~~and/or other reasons why administrative acceptance should be granted.~~

.....

~~Reasons shall state whether:~~

- ~~• Further training was needed and given~~
- ~~• Additional test equipment was needed and is available~~
- ~~• If national, non-harmonized standards are referred to as a basis, objective evidence of technical equivalency in English must be provided, in English, for example, gap analysis, summary of the scope, index, etc.~~
- ~~• At least one certificate / test report has been issued for each requested standard or a technically equivalent standard~~
- ~~• eventually, National accreditation to the same or similar standard is present (not mandatory)~~

~~We have provided evidence that includes the following:~~

- ~~• Required test equipment and procedures~~
- ~~• National accreditation to the same or similar standard~~
- ~~• Experience in the same or similar international, national or other standards within the last three years.~~

We declare that these standards are similar to the identified standards for which the NCB has already been accepted and has the competent certification staff.

We declare that the relevant CBTLs/SPTLs have the necessary testing staff and laboratory capabilities to carry out testing to the above-mentioned standards and we attach herewith:

- ~~• Attach relevant equipment lists (based on OD-2024)~~
- ~~• Attach relevant training records~~
- ~~• Attach relevant accreditation certificate and scope test procedures~~
- ~~•~~

~~Note: In the event no test reports based on the same or similar international, national or other standards and completed within the last three years, are provided, the appointed experts may require further scrutiny of the other evidence provided.~~

Note: the appointed experts may require a copy of a test report for review.

Authorized NCB Representative Name:	
Authorized NCB Signature:	

Date:	
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**Part 3: Justification of continued competence for NCB/CBTL/SPTL**

For standards where the NCB/CBTL/SPTL cannot provide evidence of sufficient experience (in the last 3 years) during reassessment.

This may be requested within one month of reassessment and is subject to clearance of any relevant NCRs.

Re-assessment report no.

**NCB / CBTL or SPTL** *Add additional lines as necessary*

Product Category	Standards for Continued competence

Supporting Claim of Competence
<p><i>State if tests to similar standards in the same product category have been performed or other reasons why continued acceptance should be granted. Confirm that the NCB/CBTL/SPTL still has the competent staff and laboratory capabilities, as applicable, to certify or carry out testing to these standards.</i></p> <p><i>Provide evidence of:</i></p> <ul style="list-style-type: none"> <li><i>Required test equipment and procedures</i></li> <li><i>National accreditation to the same or similar standard</i></li> <li><i>Experience in the same or similar international, national or other standards within the last three years.</i></li> </ul>

Authorized NCB Representative Name:	
Authorized NCB Signature:	
Date:	

**Part 4: Justification of continued competence for FSB**

For FSB that cannot provide sufficient evidence of surveillance experience (in the last 3 years) during reassessment.

This may be requested within one month of reassessment and is subject to clearance of any relevant NCRs.

Re-assessment report no.

**FSB** *Add additional lines as necessary*

Program/Scheme	NCB	Number of Surveillance Reports issued during the last three years

Supporting Claim of Competence	
<p><i>State if surveillance experience has been gained in other surveillance schemes or provide other reasons why continued acceptance should be granted.</i></p> <p><i>Confirm that the FSB still has the competent staff, as applicable, to carry out FSS surveillance.</i></p> <p><i>Provide evidence of:</i></p> <ul style="list-style-type: none"> <li><i>Surveillance reports that have been issued under other surveillance schemes within the last three years.</i></li> <li><i>National accreditation to ISO/IEC 17065 and/or ISO/IEC 17020</i></li> </ul>	
Authorized NCB Representative Name:	
Authorized NCB Signature:	
Date:	

## **IECEE Secretariat Actions and Conclusions**

Used by the IECEE Secretariat to document actions and conclusion. This portion will not be revealed to the applying organization in full.

### **Part 1: New Editions/Amendments**

No actions required

### **Part 2: Addition of Part 2 standards or other similar standards within an accepted product category**

Statement of Appointed Independent Experts:

Experts declare that they have impartially considered the claim and have come to the following conclusions.

Expert 1					
Company					
Date					
Items verified		Acceptance			Expert's comments/questions, if any
		YES	NO	N/A	
1	Scope extension justification	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2	List of test equipment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3	Training records	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4	Test Reports issued	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Expert final opinion		Scope <input type="checkbox"/> accepted as requested <input type="checkbox"/> not accepted <input type="checkbox"/> partially accepted (see below)			
For partial acceptance, list of accepted standards:					
<p><i>Note to technical expert:</i></p> <p><i>Review the provided justification for scope extension submitted by the NCB.</i></p> <p><i>Verify that the list equipment is appropriate for the requested expansion.</i></p> <p><i>Check whether training records support the requested scope expansion.</i></p> <p><del><i>In the event no test reports based on the requested IEC standard(s) or similar international or national standards, have been issued during the last three years, the appointed experts may require further scrutiny of the other evidence.</i></del></p> <p><u><i>Review eventual accreditation certificate and scope if available.- Note that "flexible scope" is a valid accreditation evidence even if not referring to the specific edition of the standard.</i></u></p>					

Expert 2					
Company					
Date					
Items verified		Acceptance			Expert's comments/questions, if any
		YES	NO	N/A	
1	Scope extension justification	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2	List of test equipment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3	Training records	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4	Test Reports issued	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Expert final opinion	Scope	<input type="checkbox"/> accepted as requested		<input type="checkbox"/> not accepted	<input type="checkbox"/> partially accepted (see below)
For partial acceptance, list of accepted standards:					
<p><i>Note to technical expert:</i></p> <p><i>Review the provided justification for scope extension submitted by the NCB.</i></p> <p><i>Verify that the list equipment is appropriate for the requested expansion.</i></p> <p><i>Check whether training records support the requested scope expansion.</i></p> <p><i><del>In the event no test reports based on the requested IEC standard(s) or similar international or national standards, have been issued during the last three years, the appointed experts may require further scrutiny of the other evidence.</del></i></p> <p><i><del>Review eventual accreditation certificate and scope. Note that "flexible scope" is a valid accreditation evidence even if not referring to the specific edition of the standard. In the event no test reports based on the requested IEC standard(s) or similar international or national standards, have been issued during the last three years, the appointed experts may require further scrutiny of the other evidence.</del></i></p>					

*Duplicate this sheet for multiple CBTLs/SPTLs if necessary.*

Secretariat conclusion	Scope <input type="checkbox"/> Accepted <input type="checkbox"/> Not Accepted <input type="checkbox"/> Partially Accepted
Comments	

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