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Edition 1.8 2016-06-01

IECEE
OPERATIONAL DOCUMENT

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

CB Scheme Test Certificates

IECEE OD-2037:2016(E)

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CB Scheme Test Certificates

INTERNATIONAL
ELECTROTECHNICAL
COMMISSION

PRICE CODE ZZ

Contents

FOREWORD

Document Owner

IECEE Secretariat

History of changes

Date	Brief summary of changes
2016-06-01	Inclusion of various CMC and PAC decisions taken in the past: AAG/547/DSH, PAC/1619/DSH, PAC 1798c), ACAG/1266/DSH, ACAG-PDSH 837, ACAG/1004/DSH, recommendation A7 from the 2015 WG 9 report to CMC, see CMC decision 41/2015, CMC 29.2/2004, CMC Decision 072/2011, PAC/24-2014/DSH, PAC/45-2015/DSH, PAC/22-2012/DSH (Previously 2023), AAG / 527, PAC Decision 65/2015, Decision Misc. 1 Geneva 2007, CMC Decisions, CMC_16a/2009, CMC_005/2012 on Production Line Testing, PAC_ACAG1397DSH, CMC_19c/2005 (Shanghai), PAC/36-2012/DSH, PAC/26-2014/DSH, PAC/37-2015/DSH, The PAC recommended that CMC revise CMC Decision 19/05, CMC Decision 30/2000, Removal of redundant information. Harmonization of terminology Removal of French language from certificate templates

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

1 Scope

This document provides the framework to ensure that all National Certification Bodies issue IECEE deliverables in a consistent manner.

2 General requirements

2.1 Reference Numbers of the Test Certificates

The reference numbers should begin with the reference letters according to ISO of the relevant countries (AT for Austria, BE for Belgium, etc.). The numbers should be running continuously year after year. The year of issue should not be mentioned in the reference number.

In member countries with several Issuing and Recognizing NCBs the issuing NCB shall be indicated within the Test Certificate number.

2.2 Signature requirements

In addition to identifying the printed name of the signatory, CB Test Certificates shall always be signed by the authorized person(s). Electronic signatures are acceptable provided there is a provision to track who is the signatory. Providing just a printed name does not fulfil the accepted understanding of an electronic signature.

3 Changes to Issued CB Test Certificates

3.1 New edition or amendment of applied standard(s).

A new CB Test Certificate shall be issued with a new CB Test Certificate number. The CB Test Report matching the new edition of the standard shall be attached.

3.2 Technical modifications to products covered by CB Test Certificates.

Technical modifications to products always require either an Amendment Test Report (See OD 2020, clause 5) or a new complete Test Report (See OD 2020, clause 5.3.2).

Technical modifications to products are limited to three after which a new CB Test Certificate and new complete Test Report shall be issued.

The CB Test Certificate shall identify the nature of such technical modification under "Additional Information." The CB Test Certificate number shall identify that technical modification was made to the product by adding a suffix (i.e. M1, M2, and M3).

The amended CB Test Certificates shall include the original issue date and revision date.

3.3 Certificates requiring changes due to misprints and changes to names or addresses and similar.

There is unlimited number of changes allowed in this case.

A short description concerning the reason for the change shall be added in the “Additional Information.” The CB Test Certificate shall be re-issued with the same Certificate number but

the letter A shall be added after the Certificate number (i.e. A1, A2, A3, etc…) depending on how many changes have been made to the original Certificate.

The original issue date of the certificate and the date of the change shall be included on the Certificate.

An Amendment Test Report according to OD 2020, Part 5 shall be attached to the reissued Certificate, when necessary.

3.4 As an alternative to corrections to the CB Test Certificates addressed in 3.3, for minor changes, such as simple misprints, an addendum sheet correctly signed may be used.

3.5 In special cases, the requirements of ISO/IEC 17065 regarding tracking and document control can be applied in lieu of the procedure described in 3.1 and 3.4.

3.6 Adding additional factories to previously issued CB Test Certificates is dealt with as an administrative modification.

3.7 New models can be added to an existing CBTC/CBTR, however a new certificate must be issued.

4 Listing Product Standards

4.1 The Test Certificate shall list only the Product Standard(s) against which the product has been assessed (tested and evaluated) and determined to be in compliance with.

4.2 A CBTC can only be issued when all relevant tests from the (vertical) standard applicable to a specific component/end-product have been conducted as opposed to horizontal (e.g. IEC 60529) standards that are called up by a vertical standard (e.g. IEC 60335-1). Consequently:

– no stand-alone CBTC shall be issued based exclusively on IEC 60529 requirements, and

– no stand-alone CBTC for a component (e.g. for thermal motor protector) based exclusively on requirements included in the vertical standard(s) (e.g. IEC 60335-1) for that component as opposed to CBTC based on relevant standard (e.g.IEC 60730-1 and -2-2) unless specifically allowed by CMC Decision or as specified in clause 10 of this OD.

4.3 Exception: When the end-product standard contains EMC requirements (e.g. IEC 60730-1), a CB Test Certificate can be issued for only the EMC section of the safety standard, if so requested by the Applicant. The certificate shall clearly identify that only EMC requirements have been addressed. However; it is not possible to issue a certificate for the safety section only without the integrated EMC section.

4.4 CB Test Certificates are not required to mention Corrigendum in the field titled “A sample of the product was tested and found to be in conformity with”.

5 Reference of Component Standards in the Test Certificate

5.1 Component Standards referenced in product standards shall **not** be identified (itemized) in the Test Certificate.

6 Products Tested Against Multiple Standards

6.1 In cases where multiple product standards, such as IEC 60335-1, IEC 60335-2-7 and IEC 60335-2-11, are applicable to the product(s) covered, all shall be evaluated and listed on the Test Certificate.

6.2 CB Test Certificates for EMC are normally stand-alone certificates when testing is done according to a dedicated EMC standard. When the safety standard also calls for EMC testing, the EMC standard is to be included on the CBTC together with the safety standard.

7 Reporting under “Additional Information”

7.1 If the product is tested and evaluated in accordance with a horizontal standard for a more stringent requirement than is contained in the Product Standard, this information may be reported in the “Additional Information” of the Test Certificate.

8 Definition of Product Families, Family Ranges or Series of Products

8.1 A product family can be defined by the 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 a 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.).

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

9 Maximum contents of Test Certificates

9.1 A Test Certificate shall in general not contain more items or types of equipment than specified below:

Accessories: There shall only be one type in each certificate, for instance a single pole and a double pole switch should not be in the same Test Certificate.

Appliances: There shall only be one appliance in each Test Certificate, for instance a drill of 150 W and a drill of 300 W should not be in the same Test Certificate. However, Test Certificates e.g. for room heaters of the same shape but of a length varying in accordance with the wattage (x watts per meter of the length of the room heater) may include a whole series of room heaters.

General: Only equipment applied for at the same time can be in one Test Certificate.

10 Exceptional Case Requirements

10.1 A standalone CBTC can be issued for the following products:

- Component power supplies evaluated to IEC 60601-1:2005, 3rd Edition and IEC 60601-1:2005, 3rd Edition with Amendment 1. Where the Risk Management Process, as required by IEC 60601-1 is not performed, the additional information field of the CBTC shall clearly indicate “The risk management requirements of the standard were not addressed.”

- Products evaluated to the IEC 62471 series only when the additional information field of the CBTC clearly indicates “Only photobiological hazards have been addressed.”
- Products evaluated only to IEC 60825-1, IEC 60825-2 and IEC 60825-12 when the additional information field of the CBTC clearly indicates” Only hazards resulting from laser radiation have been addressed.”
- Subassemblies and electronic devices, e.g. electronic units control for whirlpool baths that can be integrated/incorporated as such into end products.

10.2 When the reference standard IEC TR 62471-2 is used, it should not be listed in the standards section of the CBTC. It may, however, be listed in the additional information field of the CB Test Certificate and the summary section of the Test Report.

10.3 A CBTC can be issued for a Part 1 only, provided there is no Part 2 for the relevant product. Once the relevant Part 2 standard is published, the original Certificate and Test Report shall be withdrawn and retesting done to include Part 2.

10.4 Where a standard contains requirements related to production line testing, these requirements can be excluded from the type tests and from the CB Test Report. A CBTC can be issued in this case, as long as, the certificate contains a statement that third-party on-site verification on the production line testing was excluded. (Example: CBTC issued based on IEC 62035 without clause 7).

10.5 Only one trade mark or brand name can be included on the CBTC with the understanding that:

a) It applies to brands owned by others than the Manufacturer holding the CB Test Certificate or the CB-FCS C.A.C.

b) If the applicant includes a trademark or brand name with their CB Test Certificate application, or it is otherwise known that a trademark or a brand name will be used on the product, it shall be declared on the CB Test Certificate. If none is declared, there is no obligation to list it in the CB Test Certificate.

c) If there are multiple trademarks or brand names, a separate CB Test Certificate is required for each trademark or brand name.

d) It is permitted to have multiple brand names or trademarks covered in a single CB Test Report.

11 Test Certificate Templates:

General: Electronic copies of Test Certificates created based on approved certificate templates can be used alternatively to signed paper copies.

Annex 1: CB Test Certificate (CBTC)

Annex 2: Conformity Assessment Certificate (CAC)

Annex 3: E3 Statement of Test Results

Annex 4: HSTS Statement of Test Results

Annex 1

	Ref. Certif. No.

IEC SYSTEM FOR MUTUAL RECOGNITION OF TEST CERTIFICATES FOR ELECTRICAL EQUIPMENT (IECEE) CB SCHEME

CB TEST CERTIFICATE

Product	
Name and address of the applicant	
Name and address of the manufacturer	
Name and address of the factory Note: *When more than one factory, please report on page 2*	☐ Additional Information on page 2
Ratings and principal characteristics	
Trademark (if any)	
Customer's Testing Facility (CTF) Stage used	
Model / Type Ref.	
Additional information (if necessary may also be reported on page 2)	☐ Additional Information on page 2
A sample of the product was tested and found to be in conformity with	
As shown in the Test Report Ref. No. which forms part of this Certificate	

This CB Test Certificate is issued by the National Certification Body

Date: Signature:

Additional information (if necessary)

Date: Signature:

Annex 2

INTERNATIONAL ELECTROTECHNICAL COMMISSION (IEC)

Ref. Certif. No.

SCHEME OF THE IECEE FOR MUTUAL RECOGNITION OF CONFORMITY ASSESSMENT CERTIFICATES ACCORDING TO STANDARDS FOR SAFETY OF ELECTRICAL EQUIPMENT (CB-FCS)

CONFORMITY ASSESSMENT CERTIFICATE

Product	
Name and address of the applicant	
Name and address of the manufacturer	
Name and address of the factory	
Ratings and principal characteristics	
Trademark (if any)	
Customer's Testing Facility (CTF) Stage used	
Model / Type Ref.	
Additional information (if necessary)	
The product and the quality system of the factory meet all applicable requirements as laid down in the relevant Rules of Procedure of the IECEE .	
As shown in the Conformity Assessment Report Ref. No. which forms part of this certificate	

THIS CERTIFICATE IS PROVIDED SOLELY FOR THE PURPOSE OF FACILITATING THE GRANTING OF THE CERTIFICATION MARK BY THE RECOGNIZING NCBs IN THE FIELD OF THE MUTUAL RECOGNITION.

This FCS Conformity Assessment Certificate is issued by the National Certification Body:

Date: Signature:

Ref. No.

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

STATEMENT OF TEST RESULTS

Product	
Name and address of the applicant	
Name and address of the manufacturer	
Name and address of the factory	
Ratings and principal characteristics	
Trademark (if any)	
Model / Type Ref.	
Additional information (if necessary)	Additional Information on page 2
A sample of the product was tested and in accordance with the following IEC (standard(s) as resumed in the table on page 3:	
With details shown in the Test Report Ref. No. which forms part of this Statement of Test Results	

This product was tested to determine the performance result in accordance with the relevant standard(s).

Participation in the Statement of Test Results (STR) service is for Issuing NCBs only. As the result of testing is a demonstration of test results in accordance with IEC test methods, Recognizing NCBs do not apply. 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.

This Statement of Test Results is issued by the National Certification Body

Issue Date: Signature:

Ref. No.

Additional information (if necessary)

Issue Date:

Signature:

Performance item	Energy Consumption Criteria	Energy Performance Criteria	Other Energy Efficiency Criteria	Condition	Voltage	Frequency	Performance Result	

Additional information (if necessary)

Annex 4

Ref. No.

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

STATEMENT OF TEST RESULTS

Metal ☐ | Polymer ☐ | Electronic Component ☐

Name and address of the applicant

Name and address of the manufacturer

Sample description

Ratings and principal characteristics

Trademark (if any)

Customer's Testing Facility (CTF) Stage used

Model / Type Ref.

Weight of the sample (in g)

Additional information (if necessary may also be reported on page 2)

☐ Additional Information on page 2

The levels of the six hazardous substances were determined in the sample in accordance with the following IEC standard:

IEC 62321:2008 (ed.1)

As shown in the Test Report Ref. No. which forms part of this Statement of Test Results

This material/component was tested to determine the levels of the six hazardous substances in accordance with the standard

Participation in the Statement of Test Results (STR) service is for Issuing NCBs only. As the result of testing is a demonstration of test results in accordance with IEC test methods, Recognizing NCBs do not apply. 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.

This Statement of Test Results is issued by the National Certification Body

Issue Date:

Signature:

Ref. No.

Additional information (if necessary)

Issue Date:

Signature:

Hazardous substances	Method	Value [mg/kg]
1. Cadmium (Cd)		
2. Lead (Pb)		
3. Mercury (Hg)		
4. Hexavalent Chromium (Cr(VI)		
5. Sum of PBBs		
6. Sum of PBDEs		

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