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IECEE OPERATIONAL DOCUMENT

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

Procedure for IECEE Document Management System



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FOREWORD

Document Owner

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

History of changes

| Revision Date | Brief summary of changes |
|----------------------|--|
| 2019-03-07 | Modified Annex A second entry |
| 2018-06-05 | Modified the “History of changes” table (Replaced “Date” with “Revision Date”, replaced “Target revision date” with “Next maintenance due date”); |
| 2017-03-17 | Added exception for templates and forms to sub-clause 3.3; Added new paragraph in clause 6.1 to clarify target revision date Corrected document table in Annex A |
| 2016-06-01 | N/A, as first edition |

| Effective date | Next maintenance due date |
|-----------------------|----------------------------------|
| 2019-06-05 | 2022-06-05 |

1 Scope

This procedure covers the control of documents, hereinafter referred to as “Level I”, “Level II” and “Level III”, as shown in [Annex A](#).

2 Definitions

For the purpose of the document management system the following definitions apply:

2.1 Types of IECEE documents:

2.1.1 Level I – Scheme Rules, Operational Documents and associated forms or templates used in the IECEE system. These documents can be revised periodically and are systematically reviewed.

2.1.2 Level II – IECEE Decisions (see 2.10 below) and TRFs of the IECEE system that are not changed once published as final and typically require no systematic content review.

2.1.3 Level III – These are fixed meeting documents that are not changed once published as final and require no systematic content review.

2.2 Operational Documents – See IECEE Definitions, clause 2.

2.3 Administrative Documents – Forms and declarations used in IECEE schemes (AD)

2.4 Document Approver – A body having the authority to approve the document

2.5 Document Owner – A body that has authority and responsibility for development, content and maintenance of a document

2.6 Effective Date – Date at which a document becomes effective when applicable if different from the publication date

2.7 Forms - A document for recording, storing or providing information in a predetermined format (Prepared Test Report Forms based on TRF template, AD documents)

2.8 Guidance Documents – These documents are to provide guidance for a specific activity

2.9 IECEE Basic Rules – High level requirements for the organization and structure of the IECEE system requiring approval by the CAB (see IEC CA 01)

2.10 IECEE Decisions - These are documents of the following types:

- CFS Decisions - Recommendations made by CFS and approved by CMC
- CMC Decisions – made by the CMC (typically at the annual meeting)
- CTL Decisions - Recommendations made by CTL and approved by CMC
- PAC Decisions – Recommendations made by PAC and approved by CMC
- PSC Decisions - Recommendations made by PSC and approved by CMC

NOTE: Once approved, CTL, PAC and PSC recommendations are uploaded to the IECEE Decisions Database. For CTL, the DSHs are in the database but not the meeting decisions which are managed by the CTL Secretariat. Similarly, the CFS recommendations and Decisions are managed by the CFS Secretariat.

IECEE Secretariat follows up only on the meeting decisions that are stored in the IECEE Decisions database.

2.11 IECEE Rules of Procedure – Operational rules for structure, constitution and organization of IECEE schemes requiring approval by CMC (see IECEE 02, IECEE 02-1, -2, -3, IECEE 03)

2.12 Template - A document format that serves as a basis for a new document (e.g. TRF Template, Equipment List form,)

2.13 History of changes – a brief summary of changes as illustrated in the examples below:

| Revision Date | Brief summary of changes |
|---------------|--|
| 2015-06-08 | Added responsibilities for Secretariat in Clause 8 |
| 2016-06-12 | Multiple changes as outlined in IECEE-CMC/1234/R |

3 General process for document management system

3.1. Any proposed change to a document, shall generally be provided with clear indication of the changes, such as track changes.

3.2. All controlled documents are classified into one of the categories identified in [Annex A](#).

3.3. Level I documents shall include the following basic elements:

- title,
- document number (see [Annex A](#)),
- document owner,
- issue date (YYYY-MM-DD),
- effective date,
- revision date,
- next maintenance due date,
- scope,
- history of changes,
- a list of forms or templates associated with an OD,
- Footer disclaimer

Footer disclaimer text: This document is controlled and has been released electronically. Only the version on the IECEE Website is the current document version.

Exception: For forms and templates associated with IECEE Rules, Operational Documents and other controlled documents it is allowed to place the required document history table in the controlled document referencing the form. Additionally, it is also allowed eliminating introductory pages in front and at the end of the form. As a minimum, each form or template shall include its title, document number, IECEE logo, issue date, edition and footer disclaimer.

3.4. Level II documents shall include the following basic elements:

- title or subject,
- document number (See [Annex A](#))
- issue date (YYYY-MM-DD) or applicable approval date(s)
- decision status, if applicable
- history of changes (only if applicable and if modified version needs to be issued),
- resolution, if applicable

3.5 Level III documents shall include the following basic elements

- title or subject
- document number (see [Annex A](#))
- issue date (YYYY-MM-DD),
- history of changes

3.6. Working documents shall be clearly marked as draft (i.e. DRAFT watermark).

3.7. Documents shall be submitted for approval according to [Annex A](#) prior to publishing.

3.8. Invalid or obsolete documents are promptly archived and prevented from unintended use.

3.9. Record of approvals and status changes shall be maintained for all controlled documents.

4 Responsibilities

4.1 Document Control Administrator (IECEE Secretariat)

4.1.1 Verifies that submitted Document has been approved for publication.

4.1.2 Reviews submitted document for any inconsistencies.

NOTE: The Secretariat is permitted to fix typos and make editorial revisions provided that the changes are not substantive (the intent of the content of the document is not affected).

4.1.3 Publishes the final controlled document

4.2 Document Owner (See [Annex A](#))

4.2.1 Prepares the document in due time for approval.

4.2.2 Ensures accuracy of the content before submitting for publication.

4.2.3 Confirms that needed definitions are not in conflict with or duplicated in the IECEE Definitions document.

4.2.4 Helps resolve issues and comments raised during the document review process and after the publication.

4.2.5 Reviews the document within the prescribed review cycle.

4.3 Document approver

4.3.1 Ensures that each document submitted for consideration is acted upon in due time and that notification is provided to the document owner upon approval or rejection of the submitted document.

5 Document accessibility

5.1 Level I controlled documents and the last tracked version shall be electronically accessible to all relevant parties via the IECEE website.

5.2 For all other controlled documents the latest version shall be electronically accessible to all relevant parties via the IECEE website.

6 Document periodic maintenance

6.1 For Level I controlled documents periodic review shall be performed on a maximum 3-year cycle by the Document Owner. If the document has been reviewed prior to the assigned review date, together with or independent of any modifications, the cycle may be reset at the discretion of the Document Owner.

When changes are made within the 3-year cycle to address minor revisions or corrections, these modifications do not automatically reset the target revision date. This date is only changed after the comprehensive review of the document took place and this review has been confirmed by the Document Owner.

6.2 The CMC shall require each Committee and WG to report during the annual CMC meeting on the status of their relevant controlled documents.

6.3 The Secretariat shall maintain on the IECEE Website a “Master List of Level I Controlled Documents” which includes the following columns:

- Document number
- Document name
- Publication date/ effective date
- Document Owner
- Next Maintenance Due Date

7 Document archiving

The IECEE Secretariat is responsible for archiving controlled documents. Requests for a copy of an archived controlled document shall be submitted to the IECEE Secretariat.

8 Document retention

Controlled Documents that have been withdrawn shall be kept by the IECEE Secretariat and remain accessible for a minimum of 10 years.

Annex A Control of documents

| Level | Controlled Document | Document Owner | Document Approver | Document Numbering Convention |
|-------|--|---|--|--|
| I | -Rules - IECEE 01-S - IECEE 02, -1, -2 - IECEE 02-3 IECEE Definitions | WG 10 WG 10 PAC WG 10 | CMC and CAB CMC CMC CMC | IECEE xx-y Where "xx" is a number 01, 02, 03, 04, 05 where "y" is optional suffix IECEE Definitions |
| I | -OD/GD (Including NCB, SPTL and CBTL applications, assessment report templates and other associated documents (ODs: 2004, 2005, 2007, 2010 and 2011)) | See Cross-reference Table | CMC | OD-xyyy or GD-xyyy x* = 1, 2, 3, 4, 5 yyy = unique document number |
| I | Forms/Templates associated with OD/GD | See Cross-reference Table | CMC | OD-xyyy-Fz GD-xyyy Fz x* = 1, 2, 3, 4, 5 yyy = unique document number Fz = F1, F2, F3, (form number) |
| I | Forms/Templates associated with IECEE Rules | See Cross-reference Table | CMC | IECEE-xx-y-Fz Where "xx" is a number 01, 02, 03, 04, 05 where "y" is optional suffix number Fz = F1, F2, F3, (form number) |
| I | -FT (forms and templates associated with other controlled documents) | See Cross-reference Table | CMC | FT-xxx xxx = unique document number |
| I | Code of Ethics | PSC | CMC | -- |
| I | -Agreements (PAC Member's Agreements) | Secretariat or Committees | CMC | -- |
| II | -IECEE Decisions - CTL Test Equipment List - CTL Decision Sheets (PDSH) - CTL Decision Sheets (DSH) | CTL ETF CTL | CMC - CMC | Defined by each relevant Committee |

| Level | Controlled Document | Document Owner | Document Approver | Document Numbering Convention |
|-------|--|--------------------|-------------------|--|
| | - CMC Decisions - PAC Decisions | CMC PAC | CMC CMC | |
| II | -Forms -Prepared Test Report Form | NCBs (originators) | Secretariat | Defined by OD 2020 |
| III | CMC Meeting Documents Note: The final document may be in the next year meeting as the final corrected version | IECEE Secretariat | CMC | <p>Document name IECEE-CMC/xxxxy/zzzz</p> <p>File name CMCxxxxyzzzz</p> <p>Where xxxx is the document number May include suffix y-revision (where y is A, B, C.....)</p> <p>Where zzzz means document type and may be</p> <p>DFA – Document for approval DA – Draft Agenda INF – Document for information RV – Results of voting RQ – Results of questionnaire RCMC – Report to CMC (WG, Committee) R – Report (WG to PSC) Q. – questionnaire DV – Document for Vote RM – Minutes report DL – Decision List AC - Administrative Circular</p> |
| III | CTL Meeting Document | CTL Secretariat | CTL | <p>Document name IECEE-CTL/xxxxy/zzzz</p> <p>File name CTLxxxxyzzzz</p> <p>Where xxxx is the document number May include suffix y-revision (where y is A, B, C.....) For zzzz suffixes used see above</p> |

| Level | Controlled Document | Document Owner | Document Approver | Document Numbering Convention |
|-------|----------------------|-------------------------|-------------------|---|
| III | PAC Meeting Document | PAC / IECEE Secretariat | PAC and CMC | <p>Document name IECEE-PAC/xxxxy/zzzz</p> <p>File name PACxxxxyzzzz</p> <p>Where xxxx is the document number May include suffix y-revision (where y is A, B, C.....) For zzzz suffixes used see above</p> |
| III | PSC Meeting Document | PSC Secretariat | PSC and CMC | <p>Document name IECEE-PSC/xxxxy/zzzz</p> <p>File name PSCxxxxyzzzz</p> <p>Where xxxx is the document number May include suffix y-revision (where y is A, B, C.....) For zzzz suffixes used see above</p> |
| III | CFS Meeting Document | CFS Secretariat | CFS | <p>Document name IECEE-CFS/xxxxy/zzzz</p> <p>File name cfsxxxxyzzzz</p> <p>Where xxxx is the document number May include suffix y-revision (where y is A, B, C.....) For zzzz suffixes used see above</p> |

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