

IECEE

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OPERATIONAL & RULING DOCUMENTS

Procedure for handling Factory Surveillance Reports

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Note:

This Operational Document is based on section 6 of IECEE 02 by using

- *IECEE 02 cl. 6.1 to add Factory Surveillance Reports in addition to CB Test Reports and Certificates*
- *IECEE 02 cl. 6.2 as Procedure for obtaining a Factory Surveillance Reports similar to CB Test Certificates*
- *IECEE 02 cl. 6.3 as Procedure for recognition of Factory Surveillance Reports similar to CB Test Certificates*

1 General

- 1.1 An application for obtaining a CB Factory Surveillance Report may be made by an applicant to any Issuing and Recognizing NCB accepted for the relevant standard resp. category.

The applicant will receive the CB-Factory Surveillance Report.

- 1.2 The applicant may be:
- a manufacturer;
 - act on behalf of a manufacturer. In the latter case, evidence shall be submitted that the applicant is authorized to act on behalf of the manufacturer for the application and that the manufacturer undertakes the same obligations as the applicant;
 - any factory in case of the stand alone service

NOTE Those obligations may be to follow these Rules, the rules of the NCBs involved and legal obligations in the countries concerned.

- 1.3 The application may cover one or more factories within one or more countries, where the product will be manufactured.
- 1.4 An applicant in a country with no Member Body of the IECEE and an applicant acting on behalf of a manufacturer in such a country shall pay a contribution to the costs of the IECEE in the form of surcharge for each CB Factory Surveillance Report issued, the amount to be decided by the CMC. The surcharge is to be collected by the NCB handling the application, and remitted to the IECEE account.
- 1.5 Unless otherwise agreed between the applicant and the NCB, surveillance shall be carried out by an accepted CB-FSB on the request of the NCB.

2 Procedure for obtaining a CB Factory Surveillance Report

- 2.1 The application to the Issuing and Recognizing NCB shall contain as a minimum the following information:
- name and address of the applicant;
 - name and address of the manufacturer, if different from the applicant;
 - names and addresses of the factories where the product is manufactured;
 - name, trademarks or other markings by which the applicant, the manufacturer, when appropriate, and the factory can be unambiguously identified by an NCB;
 - type designation and markings by which the product can be unambiguously identified by an NCB.

If the application is

- submitted together with an application for a CB certificate this application will provide the required information.
- related to an already established CB certificate a copy of the certificate will provide the required information and a copy should be attached to the application

- 2.2 The application shall be made and dealt with according to the rules of the Issuing and Recognizing NCB to which it is submitted. That NCB shall inform the applicant about the relevant rules and procedures and about the Factory Surveillance Differences (Special Requirements of NCBs and / or their countries) .
- 2.3 Upon receipt of an application for a CB Factory Surveillance Report, the relevant Issuing and Recognizing NCB shall within one month arrange for Surveillance of the relevant factory. If the result of the Surveillance is favorable, the NCB concerned shall issue a CB Factory Surveillance Report to the applicant.
- 2.4 The applicant may also request additional activities to cover Factory Surveillance Differences in countries/NCBs in which the CB Factory Surveillance Report is to be used. If additional Surveillances or activities have been carried out, a report of the results may be attached to, and considered to be a part of, the Factory Surveillance Documentation.
- 2.5 The application, the results of the work done and the information obtained in connection with the application for a CB Factory Surveillance Report shall be confidential. However, basic identification data may be published after the date of issue, unless particular confidentiality is agreed between the applicant and the Issuing and Recognizing NCB.
- 2.6 Disagreements between an Issuing and Recognizing NCB and an applicant may be dealt with according to the appeal procedure of the NCB. If the applicant is not satisfied with the result of the appeal at national level, and if the disagreement concerns the application of these Rules, the dispute may be referred to the Board of Appeal of the IECEE.

3 Procedure for recognition of CB Factory Surveillance Reports

- 3.1 When an applicant applies to a Recognizing or to an Issuing and Recognizing NCB for acceptance of a Factory Surveillance Report, the application shall be accompanied by a copy of the CB Factory Surveillance Documentation and, if relevant, with attached reports covering Factory Surveillance Differences.
- 3.2 When applying for acceptance of a CB Factory Surveillance Report, an applicant shall follow the rules of procedure applicable in the country and/or by that NCB concerned and shall confirm readiness to comply with all the relevant national provisions regarding, for example, routine Surveillances, and payment of fees, as if the factory had been inspected in accordance with the procedures valid in that country and/or by that NCB.
- 3.3 The NCB shall examine the submitted CB Factory Surveillance Report to the extent considered necessary for the identification of the relevant equipment and for the recognition of the CB Factory Surveillance Report.

If the result of this examination is favorable, national certification or approval shall be granted by the NCB without additional surveillance following its own statutes and rules of procedure. However, if the Factory Surveillance Report does not cover declared Factory Surveillance Differences, if any, arrangements shall be made with the Applicant to carry out the additional Surveillance.

The NCB retains the right to perform surveillance at the factory to ascertain whether or not the factory complies with the relevant requirements. Such additional surveillance should be kept to a minimum.

- 3.4 The NCB may challenge the CB Factory Surveillance Report when it is more than one year old or when the requirements to which it was issued are no longer in force.

When in the FSR on item 17.2 the inspector ticks box item 4, it means that safety of the product is not guaranteed; therefore the receiving NCB will never accept a report with this outcome.

When in the FSR on item 17.2 the inspector ticks box item 3, it means that safety of the product is not directly affected, although corrective actions are required.

In this case customer (Mfr) must provide the receiving NCB with evidences that the corrective actions taken to solve the non conformities were fit to the purpose.

Supplementary documentation shall be passed from Customer (Mfr) to the receiving NCB attached to FSR.

Receiving NCB may ask Customer (Mfr) for a supplementary surveillance visit to be carried out to clear any doubt left.

- 3.5 The NCBs are encouraged to handle applications for recognition of CB Factory Surveillance Report within 15 working days.
- 3.6 Should the NCB receiving a CB Factory Surveillance Report for recognition consider it to have been issued in error, the NCB that issued the report shall be informed as soon as possible. If the NCBs involved arrive at different conclusions, the case may be referred to the Board of Appeal of the IECEE.