

IECEE OPERATIONAL DOCUMENT

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

Committee of Testing Laboratories (CTL)

Procedures and rules for CTL





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FOREWORD

Document Owner

CTL WG 4 “Coordination”

History of changes

Date	Brief summary of changes
2018-06-30	Document reviewed no changes required and new document template implemented.

Effective date	Next maintenance due date
2019-06-30	2021-06-30

Background

The CTL decided in 2014 to convert the CTL Operational Procedure (OP) into the IECEE Operational Document (OD) structure. The content of the former OP's has not been changed. Editorial adjustments have been made where necessary. The forms have been separated into independent documents for better handling.

A transfer table which CTL/OP has been transferred into which OD is given in OD 5000.

1 Purpose

Definition of harmonized procedures for IECEE/CTL.

2 Scope

To facilitate the efficient operation of the ETF's/WG's within an acceptable time frame whenever a uniform application of the standard and/or a test method is needed for the smooth operation of the IECEE CB Scheme.

3 Normative References

The following publication contain provisions which, through reference in this text, constitute modification or additions of this Operational Document.

OD 5002-F1	CTL Enquiry Form
OD 5002-F2	Common CTL/OSM Enquiry Form
OD 5002-F3	CTL Provisional Decision Sheet (PDSH)
OD 5002-F4	CTL Decision Sheet (DSH)
OD 5002-F5	Revised CTL (Provisional) Decision Sheet
OD 5002-F6	CTL ETF/WG Report

4 Definitions

For the purpose of this publication, the definitions of *IECEE Definitions* apply with the following additions:

CTL	IECEE Committee of Testing Laboratories
CTL/ETF	CTL Expert Task Force
CTL/WG	CTL Working Group
NCB	National Certification Body

5 Abbreviations

CAB	IEC Conformity Assessment Board
NCB	National Certification Body
IEC TC/SC	IEC Technical Committee/Sub Committee
CMC	IECEE Certification Management Committee
CBTL	CB Testing Laboratory
ETF	Expert Task Force
WG	Working Group
PDSH	Provisional Decision

DSH	Decision Sheet
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6 Procedures for Enquiries

6.1 Formal enquiries may be made by / through the following:

- IECEE National Certification Bodies (NCBs) or CB Testing Laboratories (CBTLs)
- IECEE Certification Management Committee (CMC)
- IECEE Secretariat
- IEC Technical Committees (TCs)

6.2 The entity entitled to request formal interpretation by the CTL provides the responsible ETF/WG-Convenor with the “CTL Enquiry Form” as given in OD 5002-F1 duly filled in, in WORD- and PDF-format. In case of a common enquiry within CTL ETF5 and OSM/LUM, the special attached “Common CTL/OSM Enquiry Form” shall be used as given in OD 5002-F2.

6.3 After validation and accepting the enquiry from the technical point of view the CTL/ETF/WG-Convenor forwards the enquiry to the CTL Chairman.

6.4 The CTL Chairman determines the validity of the enquiry and upon acceptance passes it to the CTL Secretary. The CTL Secretary will assign a tracking number (future PDSH number) and passes it to the relevant ETF/WG-Convenor for further processing. If the enquiry is not accepted, the CTL Chairman informs the ETF/WG-Convenor accordingly.

6.5 Once the ETF/WG-Convenor has received the tracking number, the ETF/WG-Convenor starts the “Two months procedure” *) and circulates the “Enquiry” to the all Members of the Task Force, together with the ETF/WG-Convenor’s views (if any), indicating the deadline for answering.

Note *): The two-month period is considered to be a reasonable compromise between the need of the Laboratories to quickly solve the interpretation questions and the time necessary for the ETF/WG to evaluate the questions.

6.6 On the basis of the answers received, the ETF/WG-Convenor:

- Summarises the consensus reached by the majority, 60% at least **);
- Drafts the PDSH (using the form as given in OD 5002-F3);
- Circulates the draft PDSH to the ETF/WG Members and for information to the Secretary of the IEC TC/SC, and proceeds to finalize it unless a fundamental formal objection, supported by a sound rationale, is received;
- Sends the PDSH to the CTL Secretary, to the WG3 Convenor for editing and to the originator of the enquiry for information.

Note **): With 60% majority is meant 60% of responses to the enquiry.

6.7 The CTL Secretary provides the IECEE Secretariat with the final PDSH with the request to upload it on the CTL Website, giving information to the IECEE Executive Secretary for forwarding to the IEC CAB to coordinate the further activities within the relevant IEC TC/SC. With publication of the PDSH at the CTL Web Site the document is valid and shall be applied by the CB Scheme participants.

6.8 PDSH are formally approved by the CTL during the CTL plenary meeting, after which they become “CTL Decisions” (DSH). The ETF/WG-Convenor transfers the PDSHs, he is responsible for, in the DSH form (see OD 5002-F4 or OD 5002-F5 accordingly) and provides the final DSH to the CTL Secretary for posting on the CTL web site.

6.9 An enquiry may also be received from an IEC TC/SC as a consultation in the process of developing an IEC Interpretation. An input from a CTL ETF/WG will be expected by the IEC TC/SC. Such enquiries, however, generally will not result in a development of a CTL Decision.

6.10 The publication of an IEC Interpretation shall be taken by the CTL Convenor to verify if an CTL PDSH or DSH has to be revised or withdrawn. To avoid duplication of IEC regulations within the CTL an IEC Interpretation will not be published as CTL PSDH or DSH.

6.11 The full CTL enquiry and decision-making process is illustrated in a flowchart shown in Annex A “Enquiry Process Flowchart”.

THE ABOVE MENTIONED PROCEDURE (FROM POINT 5.3 TO POINT 5.5) SHALL BE CARRIED OUT IN MAX. 2 MONTHS ().**

The attention of the ETFs/WGs’ Experts is drawn to the fact that failure to reply to three enquiries they will be notified (with copy to the relevant IECEE-CMC Representative) by the CTL Chairman to resign from the ETF/WG.

THE CTL SECRETARY AND THE ETF CONVENORS SHALL BE IMMEDIATELY NOTIFIED OF ANY UPDATES TO CONTACT DETAILS FOR ETF MEMBERS

There are other Interpretations/Decisions on standards, (e. g. Lumex Interpretation Panel/Operational Staff Meetings/CENELEC Working Groups etc.), that could be used as references for similar questions from CTL Members. It is the ETF/WG responsibility to consider if those Decisions and their content are within the CTL scope and are deemed useful for the operation of the CBTLs within the IECEE CB Scheme.

7 Terms of Reference of CTL ETFs/WGs

7.1 The generic Terms of Reference of CTL ETFs/WGs are shown in Annex B “Terms of Reference of CTL Expert Task Forces (ETF)”.

8 Meeting Schedules

8.1 See Annex C - Documents for the CTL Meeting

8.2 See Annex D - CTL Master Meeting Schedule

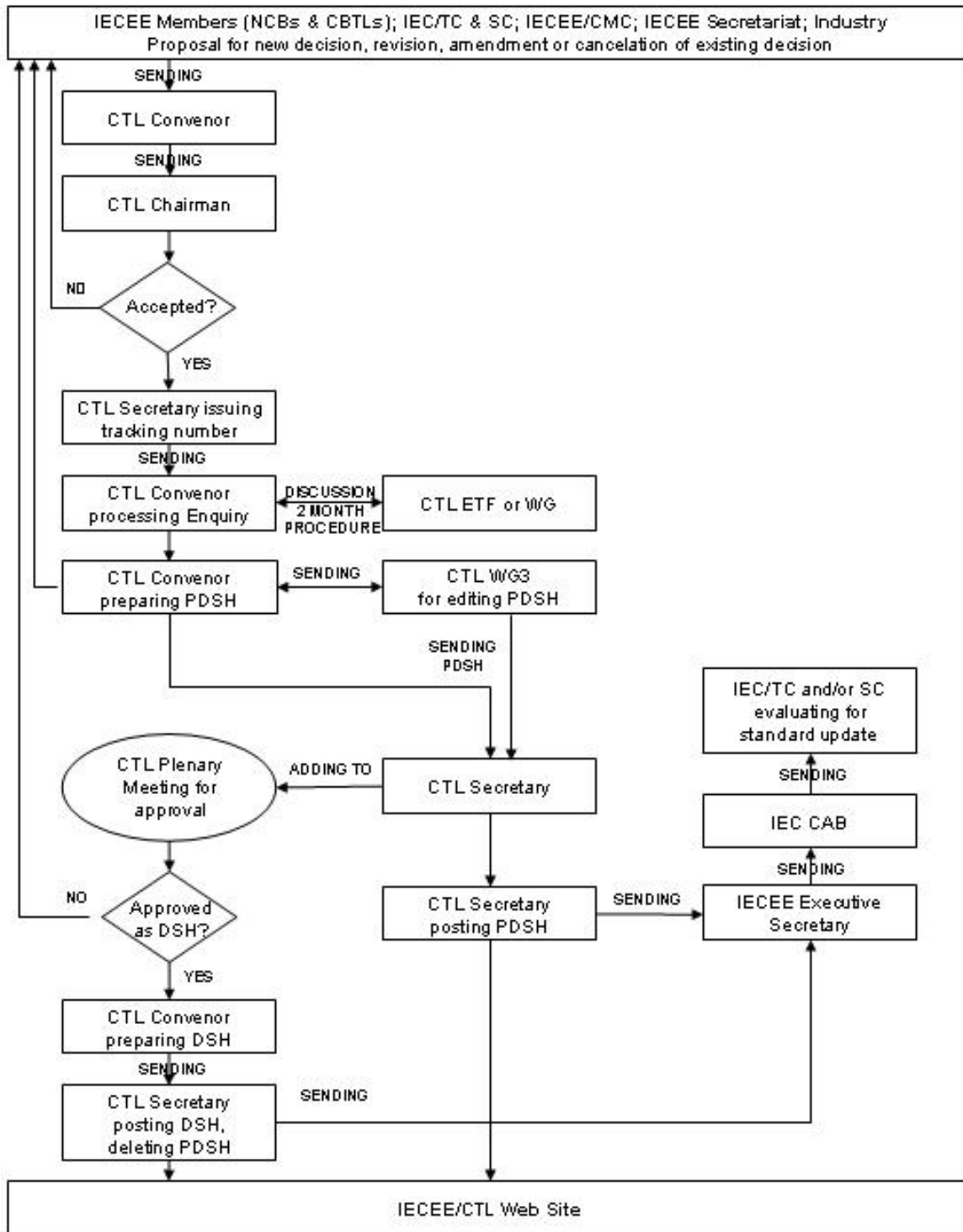
9 Reports

9.1 See OD 5002-F6 Template for ETF/WG Report

10 Document numbering

10.1 See Annex E - Guideline on document numbering

Annex A Enquiry Process Flowchart



Annex B Terms of Reference of CTL Expert Task Forces (ETF)

Appropriate also for CTL Working Groups (WG) as appropriate.

B.1 Purpose

The purpose of the ETFs is to provide focused technical expertise in the assigned categories and standards in support of the CTL's role in the IECEE.

The work of the ETFs consists to the following tasks:

- 1) Considering technical enquires pertaining to testing requirements, test method and test, and developing Decision Sheets to document the ETF responses to these enquires;
- 2) Responding to enquires of IECEE Secretariat concerning the technical requirements in new editions of IEC standards;
- 3) Developing lists of testing equipment's for all standards in the assigned product categories, as specified below;
- 4) Performing a technical advisory role in the development and operation of proficiency testing programs, where required;
- 5) Liaising with and providing support to other ETFs and WG4 with respect to relevant issues.
- 6) Liaising with IEC TC/SC
- 7) Developing of testing guidelines (only for ETF9 and ETF11).

B.2 Membership and Procedures

- 1) The membership of ETFs comprises experts nominated by CTL members, as per Operational Document OD 5001;
- 2) New potential members of ETFs should demonstrate experience in testing of the relevant product categories;
- 3) Decisions Sheets are prepared in accordance with this Operational Document, which includes the provision of contacting the relevant IEC TC/SC.
- 4) ETFs or its appointed individual members act as technical advisors to the PTP provider and CTL WG2 in the process of establishing and operating a PTP;

B.3 Mode of operation

The primary method of communication is by e-mail. Each ETF may establish its own method of operation including meetings, if any.

B.4 ETF Reports to CTL Plenary Meetings

ETF reports to CTL plenary meetings by ETF convenors include, as a minimum, the following information:

- Membership list
- List of new provisional decisions
- List of revised decisions
- Tabulation of new equipment lists
- Tabulation of revised equipment lists
- Tabulation of testing guidelines (only for ETF 9 and ETF 11)
- Proficiency testing programs supported
- Results from action items of previous year's meeting, if applicable
- Status of past action items that are still in progress
- Feedback from ETFs cooperation with respective IEC TCs

- Liaisons (with IEC/TCs or other relevant committees)
- Future work proposals
- New Standards
- Any Additional Business

Annex C Documents for the CTL Meeting

For preparing documents the ETF/WG-Convenor shall apply the following master calendar:

1st Draft Agenda, reviewed	14 Weeks before (3.5 Months)
Posting of Draft Agenda on CTL Web Site	12 Weeks before (3 months)
Receive from Members: Documents, ETF & WG Reports including DSHs, Equipment Lists and OPs	8 weeks before
Meeting Documents ready	6 weeks before
Posting Final Agenda	6 weeks before
Receive Other (Green) Documents/Comments on Documents	3 weeks before
CTL Meeting	0 weeks before

Annex D CTL Master Meeting Schedule

XXth Meeting of the CTL

Meeting Place:

Month/Date/Year

Event Due	Deadlines Before / After Meeting	Due Date
Invitation (Host)	5 months before	
Accommodation	5 months before	
CTL Registration	5 months before	
Send Host Supply Needs Check List	5 months before	
Monthly Updates (Host Organization and CTL) Including Supply Check List	Each Month	
1 st Draft Agenda Reviewed	14 Weeks before (3.5 Months)	
Monthly Updates (Host Organization and CTL) Including Supply Check List	Each Month	
Post Draft Agenda on CTL Web Site Note: All meeting docs are PDF. Sec maintains MS Word versions.	3 months before	
Host Deadline to send out Invitation Letters for Visas	3 months before	
CAG Invitation	3 months before	
Monthly Updates (Host Organization and CTL) Including Supply Check List	Each Month	
Receive from Members: Docs, ETF & WG Reports including DSHs, TELs and Ops	8 weeks before	
Meeting Docs Ready	6 weeks before	

Event Due	Deadlines Before / After Meeting	Due Date
Post Final Agenda	6 weeks before	
Monthly Updates (Host Organization and CTL) Including Supply Check List	Each Month	
Receive Other (Green) Docs/Comments on Docs	3 weeks before	
Monthly Updates (Host Organization and CTL) Including Supply Check List	Each Month	
CTL Meeting (CAG)	0 weeks	
Develop decisions After Plenary Meetings	Next Day	
Compile Approved DSHs TELs and OP's	Next Day	
Summary Report to CMC	1 Week	
Post Unconfirmed Minutes on CTL Web Site	1 month after meeting	
Receive Comments on Unconfirmed Minutes	2 months after posting	
Post Confirmed Minutes on CTL Web Site	3 months after posting of unconfirmed minutes	

Annex E Guideline on document numbering

This Annex describes how CTL documents have to be numbered and is based, as far as possible, on relevant ISO/IEC Directives.

E.1 Working documents

All IECEE-CTL Documents intended for circulation bear a reference number, composed of three parts:

- the initial "IECEE-CTL" indicating the Committee of Testing Laboratories;
- the serial number of the document;
- an acronym indicating the type of document, as quoted below

List of acronyms to indicate the type of document

CL	Circular Letter
DA	Draft Agenda
DC	Document for Comments
DL	Decision List
INF	Document for Information
ISH	Interpretation Sheet
PW	Program of Work
Q	Questionnaire
R	Report
RM	Report on Minutes
RQ	Report on Questionnaire
WG	Working Group on Membership List

Example: Document **IECEE-CTL/134/RM** is the 134th document for circulation in IECEE-CTL and is a report on a meeting

E.1.1 CTL ETF or CTL WG reports names

The files for CTL ETF or CTL WG reports should be named as follows

for ETF: IECEE-CTL ETF20 R 2019.doc

for WG: IECEE-CTL WG20 R 2019.doc

following the principle:

IECEE-CTL **Group****No** R **Year**.doc

Group ETF or WG

No Number of ETF or WG, 2 digits (e.g. 01, 12, etc.)

Year Year of report, 4 digits

E.1.2 CTL ETF or CTL WG reports numbering

On the reports for CTL ETF or CTL WG a document name should be given as follows

IECEE CTL **Location** **ETF/WGXX/R**

201x-xx-xx/xx

Location Name of the location of the CTL meeting, e.g. Oslo

- ETF/WG** select whether ETF or WG
- XX** Number of the ETF or WG, 2 digits (e.g. 01, 12, etc.)
- 201**x-xx-xx/xx** Date of the CTL meeting, e.g. 2013-05-23/24

E.1.3 Enquiries

The files for Enquiries should be named as follows

IECEE-CTL ENQ**9999A_Rev9_20130524**.doc

- 9999** Tracking number, given by the CTL Secretariat, 4 digits (e.g. 0380, 1999, etc.)
- A** Update A ... Z, if any
- Rev9** Revision Number, if revisions are made
- 20130524** Date of providing the document

E.1.4 Provisional Decision Sheets

The files for Provisional Decision Sheets should be named as follows

IECEE-CTL PDSH**9999A_20130524**.doc

- 9999** Number (former tracking number) given by the CTL Secretariat, 4 digits (e.g. 0380, 1999, etc.)
- A** Update A ... Z, if any
- 20130524** Date of providing the document

E.1.5 Decision Sheets

The files for Decision Sheets should be named as follows

IECEE-CTL DSH**9999A_20130524**.doc

- 9999** Number (corresponding to PDSH number) given by the CTL Secretariat, 4 digits (e.g. 0380, 1999, etc.)
- A** Update A ...Z, if any
- 20130524** Date of providing the document

E.1.6 Provisional Equipment List

The files for Provisional Equipment List should be named as follows

IECEE-CTL PEQL **99999-9-9**_Ed**99**_Rev**9**_20130524.doc

- 99999-9-9** IEC Standard Number (for EMC CISPR No., e.g. CISPR20)
- A** Number of edition of the IEC Standard,
e.g. 3, for Edition 3
35 for Edition 3.5

- Rev9** Revision Number, if revisions are made

- 20130524** Date of providing the document

E.1.7 Equipment List

The files for Equipment List should be named as follows

IECEE-CTL EQL 99999-9-9_Ed99_20130524.doc

99999-9-9 IEC Standard Number

A Number of edition of the IEC Standard,
e.g. 3, for Edition 3
35 for Edition 3.5

20130524 Date of providing the document

E.2 Meeting Documents (Green Documents)

Meeting documents as the name implies, are prepared on short notice for use at the meeting of CTL. They are clearly marked with the wording “Green Document”. After the meeting they will be uploaded on the CTL Web Site like other documents.

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