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IECEE OPERATIONAL DOCUMENT

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

IECEE Policy Statement





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CONTENTS

CONTENTS	3
FOREWORD.....	4
SCOPE	Error! Bookmark not defined.
IECEE Policy Statement	Error! Bookmark not defined.
1 Statement of strategic direction	6
2 About the IECEE	6
3 Role of the IECEE	6
4 IECEE Membership.....	6
5 General Principles in IECEE Conformity Assessment	7
6 Management of the IECEE	7
7 Cooperation with External Organizations.....	8
8 IEC Marks and Labels.....	8
9 Protection of the IEC Intellectual Property.....	8

FOREWORD

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History of changes

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SCOPE

The IEC is an international organization defined and governed by its Statutes and Rules of Procedure. The IEC is a membership organization, whose members are the National Committees of countries. The members exercise authority and control over the IEC through the Council and the Council Board.

The object of the IEC is to promote international co-operation on all questions of standardization and related matters, such as the verification of conformity to standards in the fields of electricity, electronics and related technologies, and thus to promote international understanding. This object, *inter alia*, is achieved by issuing publications, including International Standards, and by offering conformity assessment services.

The two main activities of the IEC are standards development (SD) and conformity assessment (CA). Both activities function in a similar manner. The IEC does not develop standards itself, but provides a framework in which technical experts from around the world participate to develop those standards. The ISO/IEC Directives serve as the guide for the principles and procedures for SD.

The IEC CA activities are, currently, third party testing and certification activities. But, similarly to its SD activities, IEC does not perform testing or certification itself, but rather provides a framework in which professional Certification Bodies and Testing Laboratories, from around the world, participate. It is those professional Certification Bodies and Testing Laboratories that do the testing and issue the certificates.

The IEC Statutes and Rules of Procedure, in its Article 12, indicate that the Council, through the Council Board, delegates to the Conformity Assessment Board (CAB) the overall management of the IEC CA activities.

The title of the IECEE is "IEC System of Conformity Assessment Schemes for Electrotechnical Equipment and Components", hereinafter referred to as "the IECEE System".

The IECEE is applicable to such standards, categories and services as proposed by its Certification Management Committee (CMC) and approved by the IEC Conformity Assessment Board (CAB).

IECEE operates individual Conformity Assessment Schemes that are complementary to:

- an ISO/IEC Scheme type 1a, according to ISO/IEC 17067, for the mutual recognition of Test Certificates and related documents indicating that one or more specimens of electrotechnical equipment, falling within the approved Scope of the Scheme, were tested and found to be in conformity with specific standards. This Scheme is called "IECEE CB Scheme for Mutual Recognition of Test Certificates for Electrotechnical Equipment and Components" as contained in the Publication IECEE 02;
- an ISO/IEC Scheme type 5 according to ISO/IEC 17067, for the mutual recognition of Conformity Assessment Certificates and related documents for electrotechnical equipment, falling within the approved Scope of the Scheme. This Scheme is called "IECEE CB-FCS Scheme for Mutual Recognition of Conformity Assessment Certificates for Electrotechnical Equipment and Components" as contained in the IECEE 02;
- any other individual conformity assessment activities that are complementary to the other IECEE Schemes or services.

This document is the current adaptation of CAB Policy for IEC Conformity Assessment. The IEC CAB Policy Statement is published under the authority of the IEC CAB and should be read in conjunction with this document.

1 Statement of strategic direction

Statement of strategic direction in support of the IECEE Vision and Mission.

Strategic Goal

To be the leading internationally recognized provider of conformity assessment for electrotechnical equipment, components, systems, and related services, to facilitate international trade based on the principle of mutual recognition (reciprocal acceptance) by its Members or approval at national levels around the world.

2 About the IECEE

2.1 IECEE, the IEC System for Conformity Assessment Schemes for Electrotechnical Equipment and Components, is a multilateral certification system based on International Standards. Its Members use the principle of mutual recognition (reciprocal acceptance) of test results to obtain certification or approval at national levels around the world.

2.2 The IECEE addresses the safety, quality, and efficiency of electrotechnical equipment, components, systems, and related services.

2.3 The IECEE operates two Schemes within the System;

- the IECEE CB Scheme offers the potential of one test and one certification, recognized internationally, and
- the CB-FCS includes factory surveillance and re-testing to ensure that the overall production line is constantly compliant with the initial testing/certification.

3 Role of the IECEE

3.1 The overall responsibility for the operation of the IECEE is vested in the Certification Management Committee (CMC), which is a Committee of the IEC and operates under the authority of the IEC Conformity Assessment Board (CAB).

3.2 The CAB has delegated the management and overall operational responsibility related to the IECEE to the CMC.

3.3 Promoting and maintaining relations with international, regional and national organizations on IECEE matters – in particular ISO/CASCO, ILAC and IAF.

3.4 Providing feedback to the IEC Technical Committees on Conformity Assessment (CA) issues.

3.5 Promoting the wider acceptability of the existing IECEE Schemes, and establishing new services to address the market needs.

3.6 Proposing to set up, modify or withdraw IECEE Schemes or services for approval by the IEC CAB.

4 IECEE Membership

4.1 Membership of the IECEE is open to any country in which there is a Full or Associate Member National Committee of the IEC, as defined in Article 4 of the Statutes of the IEC.

4.2 Membership of the IECEE is also open to non-IEC member countries, subject to the concurrence of the IEC Executive Committee (ExCo) regarding general IEC policy and satisfaction of the specific requirements for membership.

4.3 The Member Body of the IECEE shall be fully representative of the national electrotechnology community and should include a wide representation from industry, electrical regulatory authorities and standards bodies as well as conformity assessment interests. It may be either

- the National Committee of IEC, or

- a body notified to the IEC by the National Committee of the IEC.

5 General Principles in IECEE Conformity Assessment

5.1. Peer Assessment, as defined by ISO/IEC 17040, is considered a fundamental pillar of the IECEE.

5.2 The IECEE promotes the principle of neutrality related to methods of conformity assessment and operates under a third-party conformity assessment system.

5.3 The IECEE focuses its initiatives where a clear market need has been identified by industry and other stakeholders to the benefit of users.

5.4 Mutual recognition rests on the confidence built through having the competence of each Member laboratory and certification body assessed by its Member peers.

5.5 The IECEE monitors market surveillance activities and initiates appropriate action to prevent the use of counterfeit or pirated certificates, or other online deliverables.

5.6 The IECEE System is based on the use of International Standards, namely those published by IEC and ISO.

6 Management of the IECEE

6.1 The IECEE organization comprises of the Certification Management Committee (CMC) and the following:

- Policy and Strategy Committee (PSC),
- Board of Appeal (BoA),
- Committee of Testing Laboratories (CTL),
- Committee for Factory Surveillance (CFS),
- Peer Assessment Committee (PAC),
- IECEE Secretariat

6.2 The CMC shall meet at least once a year.

6.3 The CMC provides a report on its activities at least annually to the CAB and submits proposals for approval by the CAB with regard to:

- modifications to the Basic Rules of the IECEE,
- the appointment of officers of the IECEE,
- the budget and annual accounts of the IECEE,
- the policy of the IECEE,
- proposals for extensions to the Scope of the IECEE and
- proposals for the use of normative documents other than IEC standards.

6.4 The CMC ensures that the IECEE System complies with the relevant clauses of the IECEE Basic Rules and Rules of Procedure.

6.5 The CMC ensures the financial viability of the IECEE System through approval of its account and budget for further approval by the CAB.

6.6 The CMC shall decide on and/or endorse

- Membership
- Finance
- Appointments
- Rules and Procedures for the operation of the Schemes

6.7 The Chair is appointed for a period of three years by the CAB, on the nomination of the CMC. The Chair is eligible for re-appointment in the same office for one further period of three years.

6.8 The Executive Secretary is entrusted with the routine work of the IECEE and is appointed for a period of five years by the CAB on nomination by the CMC.

6.9 The IECEE will apply identified criteria when considering to establish a new field of technology or a new service including:

- Market needs, market relevance and business drivers;
- Market entry barriers, such as
 - a) schemes already implemented in other IEC CA Systems,
 - b) lack of applicable standards, or
 - c) lack of regulatory drivers in a Country or Region
- Identification of standards, specifications or requirements as a basis for conformity assessment;
- Regulatory demands or other requirements in countries or regions;
- Related work or other valuable information from other organizations or Industries;
- Identification of existing IEC CA Systems or schemes working in this, or related, field (if applicable);
- Identification of relevant IEC technical committee(s);
- Identification of stakeholders,

6.10 The CMC decisions are based on consensus between its Members to support its goal for mutual recognition and to ensure the highest acceptance in various countries and regions.

7 Cooperation with External Organizations

7.1 The IECEE supports active cooperation with agencies in the field of regulations.

7.2 The IECEE supports and encourages the cooperation between the IEC and ILAC and IAF that aims to reduce duplication between accreditation, assessment and peer assessment through the IECEE participation in the IEC-CAB/ILAC/IAF Steering Committee.

7.3 The IECEE shall be proactive in monitoring and identifying opportunities and potential competitive Conformity Assessment activities that may impact on the IECEE.

8 IEC Marks and Labels

8.1 The CMC will rely on relevant market demands when deciding on the development or use of a new Mark or Label.

8.2 The IEC, IECEE and combination IEC/IECEE logos are copyrighted and belong to the IEC. Their use is restricted to official documents published by the IEC or the IECEE, or both, and shall not be reproduced or utilized in any form or by any means, electronic or mechanical, including photocopying and microfilm, without prior permission in writing from the IECEE Executive Secretary.

9 Protection of the IEC Intellectual Property

9.1 The IECEE shall prepare, at each Certification Management Committee (CMC) meeting, an agenda item on this matter. The report under this agenda item shall include known incident(s) of misuse of marks owned by the IEC, certificates, and other Intellectual Property within the IECEE System, where the IECEE or IEC's brand, name, or Intellectual Property is adversely impacted.

9.2 The Chairman of the IECEE reports to the CAB on all relevant cases Intellectual Property misuse.

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