

**COMMISSION
ELECTROTECHNIQUE
INTERNATIONALE**

**IECEE
02**

**INTERNATIONAL
ELECTROTECHNICAL
COMMISSION**

Dixième édition
Tenth edition
2006-10

**Méthode de l'IECEE d'Acceptation Mutuelle de
Certificats d'Essai des Equipements et
Composants Electrotechniques (Méthode OC) –**

Règles de Procédure

**Scheme of the IECEE for Mutual Recognition of
Test Certificates for Electrotechnical Equipment
and Components (CB Scheme) –**

Rules of Procedure



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International Electrotechnical Commission
Telefax: +41 22 919 0300

e-mail: inmail@iec.ch

3, rue de Varembe Geneva, Switzerland
IEC web site <http://www.iec.ch>



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International Electrotechnical Commission
Международная Электротехническая Комиссия

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INTERNATIONAL ELECTROTECHNICAL COMMISSION

**IEC SYSTEM OF CONFORMITY ASSESSMENT SCHEMES FOR
ELECTROTECHNICAL EQUIPMENT AND COMPONENTS (IECEE)****IECEE CB SCHEME FOR MUTUAL RECOGNITION OF TEST CERTIFICATES
FOR ELECTROTECHNICAL EQUIPMENT AND COMPONENTS
(CB SCHEME)****RULES OF PROCEDURE**

FOREWORD

This publication governs the Certification Body Scheme of the IECEE for testing and certification of electrotechnical equipment and components which includes appliances, systems, industrial and household equipment and sub-assemblies (CB Scheme).

It cancels and replaces Publication IECEE 02, Ninth edition, 2004.

Changes from the second edition mainly concern the slimming-down of the organizational structure, whereby the former Management Committee (MC) and Committee of Certification Bodies (CCB) are replaced by one committee, namely the Certification Management Committee (CMC).

This publication is directly related to Publication IECEE 01 containing the Basic Rules of the IECEE.

The annexe to this publication is normative.

The text of the amendments of this edition (IECEE 02 edition 2006) is based on the following Document.

Document	Report on voting
IECEE-CMC/711/RM	CMC Decision

Full information on the approval of this publication can be found in the Minutes of the CMC meeting held in Buenos Aires on June 22/23, 2006.

INTRODUCTION

NOTE This introduction provides an overview of the CB Scheme and is not part of the Rules.

In recognition of the need to facilitate international trade in electrotechnical equipment, and components primarily intended for use in homes, offices, workshops healthcare facilities and similar locations, for benefit of consumers, industries, authorities etc, and to provide convenience for manufacturers and other users of the services provided by various *National Certification Bodies (NCBs)*, an international Scheme is operated by the IECEE (IEC System for Conformity Testing and Certification of Electrotechnical Equipment and Components), known as the CB Scheme. The Scheme is based on the principle of mutual recognition (reciprocal acceptance) by its members of test results for obtaining certification or *approval* at national level.

The Scheme is intended to reduce obstacles to international trade which arise from having to meet different national certification or approval criteria. Participation of the various NCBs within the Scheme is intended to facilitate certification or approval according to IEC standards. Where national standards are not yet completely based on IEC standards, declared *national differences* will be taken into account; however, successful operation of the Scheme presupposes that national standards are reasonably harmonized with the corresponding IEC standards. Use of the Scheme to its fullest extent will promote the exchange of information necessary in assisting manufacturers around the world to obtain certification or approval at national level.

The operating units of the Scheme are the NCBs accepted according to these Rules. Those NCBs employ testing laboratories also accepted according to the Rules, known as *CB Testing Laboratories (CBTLs)*. A list of NCBs is published in the CB Bulletin.

The CB Scheme is based on the use of CB Test Certificates which provide evidence that representative specimens of the product have successfully passed tests to show compliance with the requirements of the relevant IEC standard. A supplementary report providing evidence of compliance with declared national differences in order to obtain national certification or approval may also be attached to the CB Test Report.

The first step for an NCB, intending to operate in the CB Scheme, is to be accepted as a *Recognizing NCB*. Such an NCB is prepared to recognize CB Test Certificates as a basis for certification or approval at national level for one or more categories of products

The second step for an NCB, which can be taken at the same time as the first step, is to be accepted as an *Issuing and Recognizing NCB*. Such an NCB is entitled to issue CB Test Certificates for the categories of equipment for which it recognizes CB Test Certificates. It should, however, be noted that an NCB may recognize CB Test Certificates for more categories of equipment than for which it is entitled to issue CB Test Certificates.

The Rules are formulated in such a way as to make them applicable in different national certification structures.

Definitions are given in clause 3.

IEC SYSTEM OF CONFORMITY ASSESSMENT SCHEMES FOR ELECTROTECHNICAL EQUIPMENT AND COMPONENTS (IECEE)

IECEE CB SCHEME FOR MUTUAL RECOGNITION OF TEST CERTIFICATES FOR ELECTROTECHNICAL EQUIPMENT AND COMPONENTS

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RULES OF PROCEDURE

1 Scope

This publication contains the Rules of Procedure of the IECEE CB Scheme for Mutual Recognition of Test Certificates for Electrotechnical Equipment and Components (CB Scheme).

The CB Scheme is applicable to Electrotechnical Equipment and Components primarily intended for use in homes, offices, workshops, healthcare facilities and similar locations.

2 Normative references

The following publications contain provisions which, through reference in this text, constitute provisions of these Rules of Procedure. At the time of publication, the editions indicated were valid. The IECEE Certification Management Committee (CMC) shall decide the timetable for the introduction of new publications or revised editions of existing publications.

IECEE 01: 2006, *IEC System of Conformity Assessment Schemes for Electrotechnical Equipment and Components (IECEE)*

ISO/IEC Guide 2: 2004, *Standardization and related activities - General vocabulary.*

ISO/IEC 17000:2004 *Conformity assessment - Vocabulary and general principles*

ISO/IEC 17025: 2005, *General requirements for the competence of calibration and testing laboratories.*

Note: ISO/IEC 17025:1999 valid until 2007-05-31

ISO/IEC 17040:2005 *Conformity assessment - General requirements for peer assessment of conformity assessment bodies and accreditation*

ISO/IEC Guide 65: 1996, *General requirements for bodies operating product certification systems.*

ISO/IEC Guide 67 *Conformity assessment — Fundamentals of product certification*

3 Definitions

ISO/IEC Guide 2 gives the basic definitions.

For the purpose of the CB Scheme, the following special definitions apply:

3.1 National Certification Body (NCB)

a body which operates a national certification or approval scheme for Electrotechnical equipment and components in a country that has a Member Body of the IECEE

3.2

Recognizing NCB

an NCB which is, or has been appointed by, a Member Body of the IECEE, and accepted according to these Rules, and which is prepared to recognize CB Test Certificates for specified IEC standards as a basis for national certification or approval

3.3

Issuing and Recognizing NCB

a Recognizing NCB which has also been accepted according to these Rules for issuing CB Test Certificates for specified standards

3.4

CB Testing Laboratory (CBTL)

a testing laboratory which, after having been proposed as a candidate by an Issuing and Recognizing NCB, and which, after having been successfully assessed according to these Rules, is accepted into the CB Scheme

3.5

national differences

those requirements or test parameters in the corresponding national standard which, when applied to equipment complying only with the standard accepted for use in the IECEE, might entail non-compliance of that equipment with the relevant national standard

NOTE 1 When a requirement in the IEC standard is not implemented in the corresponding national standard, that is also a national difference.

NOTE 2 Those restrictive requirements in a national standard, which do not deviate from the criteria included in the corresponding standard accepted for use in the IECEE, but which limit the possibility to offer the relevant equipment for sale in the country concerned, are also considered to be national differences.

3.6

applicant

a firm or a person who applies to an Issuing and Recognizing NCB for obtaining a CB Test Certificate or to a Recognizing or Issuing and Recognizing NCB for national certification or approval on the basis of a CB Test Certificate

NOTE The applicant is the holder of the CB Test Certificate

3.7

manufacturer

an organisation, situated at a stated location or stated locations, that carries out or controls such stages in the manufacture, assessment, verification, handling and storage of a product.

A Manufacturer has full responsibility for continued compliance of the product with the relevant requirements and undertakes all obligations in that connection.

3.8

factory

the location at which the product is produced or assembled and follow-up service is established by the NCB

3.9

approval

acceptance of a product by an authority having the appropriate jurisdiction

3.10

adherence to IEC Standards

a formal declaration made by the IECEE Member Body to the IECEE Secretariat that the Member Body accepts the relevant IEC Standard, as the basis for the national standard.

Adherence to an IEC Standards in the scheme implies that the Member Body endorses or publishes these standards at national level with or without National Differences. Countries adhering to IEC Standards are listed in the appropriate public media (CB Bulletin, Web Site, etc.) with the letter "A" as "adhere".

Note: The Member Body's "adherence" to IEC Standards may be made at the same time as the "extension of scope" for an NCB domiciled in the country of the Member Body.

3.11

Extension of scope

a formal application made by the NCB to the IECEE Secretariat, via the responsible Member Body of the IECEE for that NCB, seeking the extension of its scope as a Recognizing or Issuing/Recognizing Body to declared IEC standards. If the status of the application is Issuing/Recognizing Body, the adherence to that (those) declared standards by the relevant Member Body of the IECEE is required.

Note: An NCB's "extension of scope" to IEC Standards can be made at the same time as the Member Body's "adherence" is made.

3.12

operational documents

normative documents approved by the CMC and used to cover the various operations within the CB Scheme such as applications, assessments, Test Report Format, etc. The Operational Documents are used in conjunction with the Basic Rules IECEE 01 and Rules of Procedure IECEE 02.

3.13

Scope of NCB and its associated CBTL(s)

The standards for which the NCB and its associated CBTL(s) have formally declared adherence, have been successfully evaluated and assessed, accepted by the CMC, and published by the IECEE to operate in the CB Scheme

NOTE : The scope of the NCB and its associated CBTLs(s) is published on the IECEE website

4 Rules

4.1 General

4.1.1 The *IEC System of Conformity Assessment Schemes for Electrotechnical Equipment and Components (IECEE)* operates a scheme with the aim of facilitating international trade by promoting and simplifying certification and approval at national level through mutual recognition of test results. CB Test Certificates according to 4.2.1 are used as the means for mutual recognition of test results.

4.1.2 The Scheme is called "IECEE CB Scheme for Mutual Recognition of Test Certificates for Electrotechnical Equipment and Components", hereinafter referred to as "the CB Scheme".

4.1.3 The CB Scheme is applicable to Electrotechnical Equipment and Components within the scope of IEC standards, accepted for use in the IECEE. The Scheme becomes operative for such standards as soon as at least three Member Bodies of the IECEE, or the NCBs which they represent, have declared their recognition of CB Test Certificates. At least one of the NCBs shall be an Issuing and Recognizing NCB (see 4.3.2).

The list of accepted standards is published in the CB Bulletin (see 4.4).

4.1.4 The CB Scheme shall be governed by the CMC, whose responsibilities in this respect are defined in the Basic Rules of the IECEE, as given in Publication IECEE 01.

4.1.5 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 Secretary.



4.2 CB Test Certificates

4.2.1 A CB Test Certificate is a document issued by an Issuing and Recognizing NCB to inform other NCBs, in conjunction with the attached Test Report, that one or more specimens of certain electrical products were tested according to a standard accepted for use in the IECEE and that the specimens were found to be in conformity with that standard. A CB Test Certificate is valid only when the relevant Test Report (in agreed harmonised form, if available) is attached. The Test Report will cover the test results according to the standard, and when requested also according to declared national differences.

4.2.2 The CMC shall decide on the layout and content of CB Test Certificates. The CB Test Certificate shall always contain a clear description of the product, the name and address of the applicant, manufacturer and factory or factories (see definitions) and the edition of the IEC standard, and amendments, if any.

The CB Test Certificate shall be signed by authorized person(s) operating within the Certification department of the responsible NCB.

The name(s) and signature(s) of the authorized person(s) shall clearly appear on the CB Test Certificate and the names shall be declared to the IECEE Secretariat and listed in the Quality Procedure used by the NCB to process the CB Scheme.

A Test Report shall be attached to each CB Test Certificate giving, as far as necessary, for each clause of the relevant standard a brief reference to the requirements, and the results of tests and examinations. The Test Report shall also contain the information necessary for identification of the product, such as type designation, ratings, description and photographs.

4.2.3 CB Test Certificates shall not be used in any form of advertising or sales promotion.

NOTE This subclause does not preclude the holder of a CB Test Certificate from making reference to the existence of that Certificate in business correspondence related to equipment for which a CB Test Certificate has been issued.

4.2.4 Modifications to products declared in a valid CB Test Certificate are limited to three, after which a new CB Test Certificate shall be issued and a new surcharge levied if applicable. This shall not preclude issuing a new CB Test Certificate at every modification if the Issuing NCB wishes to do so.

When a product is subject to "Modifications" regardless of the suffix used to identify the CB Test Certificate, i.e. the letter "M" followed by 1, 2 or 3, the CB Test Certificate shall clearly identify the nature of such "Modifications" under "Additional Information".

A re-issued CB Test Certificate shall include the original issue date and revision date under "Additional Information".

4.2.5 A CB Test Certificate may be cancelled by the issuing NCB if

- the Certificate is misused,
- the Certificate has been issued in error, the equipment no longer corresponds to the specimens tested and described in the attached Test Report, or
- the holder of the Certificate requests cancellation.

4.2.6 When a CB Test Certificate has been cancelled, the Secretary of the IECEE shall be notified as soon as possible by the issuing NCB, which shall state the reason for cancellation.

The Secretary of the IECEE shall inform the manufacturer and all NCBs participating in the CB Scheme for the standard concerned that the relevant CB Test Certificate has been cancelled, and give the reason for the cancellation.

NOTE Each NCB concerned decides for itself if any certification or approval at national level based on that CB Test Certificate should be revoked.

4.3 Participation in the CB Scheme

4.3.1 Any Member Body of the IECEE shall have the right to nominate a candidate NCB under the conditions stated in 4.3.2. The membership is subject to acceptance by the CMC.

When there is more than one accepted NCB in a country, national arrangements shall be made to provide the co-ordination necessary for the operation according to these Rules.

An NCB shall not be, nor be influenced by, a body which manufactures or trades in electrotechnical equipment and components.

NOTE The Member Body of IECEE and the NCB may be the same body.

4.3.2 An NCB shall be accepted by the CMC either as a Recognizing NCB according to 5.1 or as an Issuing and Recognizing NCB according to 5.2.

NOTE The acceptance described in this subclause may be made in two steps or in one step.

4.3.3 When certification or approval is needed in a country as a condition to sell a product, it shall be declared by the candidate NCB that the national certification or approval can be based on a CB Test Certificate. When other conditions have to be fulfilled, they shall also be declared for later publication in the CB Bulletin.

4.3.4 An NCB nominated by a Member Body of the IECEE to participate in the CB Scheme shall, via the Member Body of the IECEE, send a written application to the Secretary of the IECEE who shall submit the application to the CMC for decision.

The application shall contain the following:

- a) information on legal status, address etc of the candidate NCB;
- b) a written declaration by the candidate NCB that it is ready to provide for recognition of CB Test Certificates as a basis for national certification or approval to specified standards as required by 4.3.3. The number, the edition, and amendments, if any, shall be specified for each standard. The date from which CB Test Certificates will be recognized at national level shall also be stated for each standard.
- c) a declaration by the candidate NCB that is willing to abide by these Rules.

An Issuing and Recognizing NCB will not be authorized to issue CB Test Certificates for a standard until CB Test Certificates for that standard are recognized by that NCB.

National differences, if any, from the specified standards, as well as other requirements (see 4.3.3), shall also be indicated in the application for later publication in the CB Bulletin.

There shall not be more than one set of national differences for each country.

NOTE Candidate NCBs are strongly recommended to keep the number of national differences as low as possible.

The arrangements, when relevant, between the Member Body of the IECEE and the candidate NCB, shall be described, and a written statement from the NCB that it accepts the arrangement and permits the Member Body of the IECEE to act on its behalf according to these Rules shall be submitted.

4.3.5 Each Member Body of the IECEE shall communicate the following information relevant to the recognition of CB Test Certificates to the Secretary of the IECEE:

- whether or not written information on procedures and rules for certification or approval at national level is available;
- whether or not a foreign manufacturer is required to make application for certification or approval at national level through representatives resident in that country.

4.3.6 Each Member Body of the IECEE shall inform the Secretary of the IECEE about changes in the information given according to 4.3.4 and about the information according to 4.3.5.

4.3.7 An NCB wishing to discontinue recognizing CB Test Certificates for certain standards shall, via the Member Body of the IECEE, notify the Secretary of the IECEE and shall indicate the date from which the discontinuation becomes effective at least one year in advance. Such a notice automatically cancels the right to issue CB Test Certificates to those standards. It is the duty of the Secretary to inform all other Member Bodies of the decision.

4.3.8 An NCB wishing to withdraw from the CB Scheme shall notify the Secretary of the IECEE at least one year in advance and shall indicate the reason for the withdrawal and the date from which the withdrawal will become effective. The annual dues for that NCB shall be paid for the calendar year following the year during which the notice was given.

4.3.9 Should, in the opinion of the CMC, an NCB hamper the aim, operation or development of the CB Scheme, fail to take action regarding misuse of CB Test Certificates or violate these Rules, the CMC has the right to exclude or to suspend that NCB from the CB Scheme.

A decision to exclude or suspend an NCB shall be taken in accordance with the provisions of 5.6 of Publication IECEE 01.

4.4 The CB Bulletin

4.4.1 The CB Bulletin shall be made available at intervals decided by the CMC.

4.4.2 The CB Bulletin shall contain information about

- categories of products covered by the CB Scheme,
- standards accepted for use in the CB Scheme,
- the product standards for which NCBs in each country have declared recognition of CB Test Certificates,
- national differences for each standard and country as declared by the Member Bodies of the IECEE,
- important rules in addition to the content of the standards which have to be fulfilled in the countries,
- the product categories for which NCBs in each country are authorized to issue CB Test Certificates,
- CB Test Certificates issued,
- accepted NCBs, and
- the operation of the CB Scheme, to assist the applicants.

4.4.3 The information published in the CB Bulletin is based on information given by the Member Bodies of the IECEE. Neither the IEC nor the Secretary of the IECEE is therefore liable for the accuracy of that information.

4.5 Complaints

If there are complaints concerning the behaviours of an NCB or CBTL, the case shall be reported to the Secretary of the IECEE with due documentation of evidence. After review and acceptance of the complaint, the Secretary of the IECEE will submit the case to the Board of Appeal in accordance with the procedure as per the Basic Rules IECEE 01 Annex B.

5 Acceptance of National Certification Bodies and of CB Testing Laboratories

5.1 Acceptance of Recognizing NCBs

NOTE Being a Recognizing NCB makes it possible for an NCB to take advantage of the full service of the IECEE and obtain full rights according to these Rules even though it is not in a position to issue CB Test Certificates.

5.1.1 An NCB may be accepted as a Recognizing NCB by the CMC under the following conditions and according to the procedures stipulated in 5.1.2 to 5.1.7:

- a) the NCB shall operate a recognized certification or approval scheme at national level for specified individual products. When it is legally possible, the certification mark, if any, of that NCB shall be registered at least in the country of the NCB;
- b) a Recognizing NCB shall not be, or be influenced by, a body which manufactures or trades in Electrotechnical equipment and components. Furthermore, the NCB shall be impartial and not offer assistance or other services which may compromise the objectivity of its certification activities and decisions;
- c) the competence of the NCB to comply with these Rules shall be demonstrated by assessment. The general competence, efficiency, *experience, familiarity with the relevant standards and the products included in those standards as well as compliance with applicable parts of the relevant ISO/IEC Guides¹⁾ shall be taken into consideration. Accreditation, if any, shall be taken into account when a recognized national accreditation body provides an accreditation service in the country.

NOTE Experience is considered sufficient when at least 10 Certificates have been issued for the product category applied for but at least one Certificate for the specific part 2 standard applied for.

5.1.2 An application for the acceptance of an NCB as a Recognizing NCB for one or more standards accepted for use in the IECEE shall be made by the candidate NCB, via the Member Body of the IECEE in the country of the candidate NCB.

The application shall be submitted to the Secretary of the IECEE and shall be accompanied by a declaration as detailed in OD-CB2013 as far as applicable.

1) At the time of issue of these Rules, those Guides are 25 and 65

5.1.3 The candidate Recognizing NCB shall be assessed by one expert, to be appointed by the Secretary of the IECEE, with a view to determining whether the conditions according to 5.1.1 are fulfilled. The assessor shall normally be recruited from an Issuing and Recognizing NCB.

The candidate NCB shall be given the name and qualifications of the assessor proposed to be appointed by the Secretary of the IECEE. Candidates may object “for cause” (reasons to be stated) to the appointment of this assessor. The mandate given to the assessor shall be clearly defined and made known to the candidate. The mandate shall include critical assessment of any national differences from IEC standards.

The NCB to be assessed shall express its willingness to pay the travelling and living expenses and other applicable fees (see 5.4) arising from the assessment. An estimate of these expenses and fees shall be provided to the candidate NCB in advance by the assessor and agreed to by the candidate NCB.

During the assessment visit, the assessor shall prepare a draft report which shall be discussed with the management of the candidate NCB. Efforts should be made to resolve any differences of opinion between the assessor and the NCB during this discussion.

5.1.4 The assessor shall submit to the Secretary of the IECEE, with a copy to the representatives of the candidate NCB, a confidential report containing his findings and recommendations, taking into account the declaration submitted together with the application. Representatives of the candidate NCB may be invited to a meeting for discussion of its application, to respond to inquiries.

5.1.5 The “Open Part” of the Assessment Report is posted on the dedicated restricted area of the IECEE Web Site for review by the IECEE Members and to submit their comments on the Assessment Report to the IECEE Secretary within one month of the date of posting on the Web Site.

Thereafter, the Secretary shall notify the candidate on the outcome whilst awaiting the formal decision by the CMC at its next regularly scheduled meeting.

* NOTE The “Open Part” of the Assessment Report is composed of the Assessment Report, Annexes 1, 2 and 3 and the Non-Conformance sheets.

5.1.6 If the outcome of the Members' review is positive, the Secretary of the IECEE shall submit a final recommendation to the CMC for decision.

5.1.7 If the outcome of the Members' review is negative, the Secretary of the IECEE may, depending on the findings, suggest to the candidate Recognizing NCB:

- to withdraw the application, or
- to modify the application, or
- to put the application on hold, or
- to submit to a new assessment.

5.1.8 By means of re-assessment to the extent deemed necessary by the CMC, the assessor shall verify whether the conditions of 5.1.1 are still fulfilled.

5.1.9 The acceptance of a Recognizing NCB may be suspended or withdrawn by the CMC on recommendation of the Secretary of the IECEE if that NCB no longer fulfils the conditions of 5.1.1 or if it violates these Rules. Before such a recommendation is made, the NCB shall be given the opportunity to take corrective action over a period of six months and to state its own opinion on the matter (see also 4.3.9 and 4.5).

In case of a suspension, the NCB in question shall not claim any association with the IECEE.

5.2 Acceptance of Issuing and Recognizing NCBs

NOTE When an application is made for acceptance of an NCB that intends to employ already accepted CBTLs, assessment is made according to this subclause.

Applications for acceptance of an NCB and an associated testing laboratory may be submitted together or as one combined application, and assessment according to 5.2 and 5.3 may be combined.

5.2.1 An NCB may be given the right by the CMC to issue CB Test Certificates for specified individual product categories in compliance with specified standards according to the procedures stipulated in 5.2.2 to 5.2.10 and under the following conditions:

- a) the NCB shall be well established and fulfil the conditions of 5.1.1 for at least the standards for which acceptance to issue CB Test Certificates is sought. When the candidate NCB has not earlier been accepted as a Recognizing NCB according to 5.1, the conditions of 5.1.1 shall be included in the assessment;
- b) the NCB has within its organization, or has an agreement to employ, a CBTL accepted by the IECEE according to 5.3 of these Rules for the relevant product standards;

NOTE See the Note to 5.2 under the headline.

- c) an Issuing and Recognizing NCB shall not be, or be influenced by, a body which manufactures or trades in Electrotechnical equipment and components. Furthermore, the NCB shall be impartial and not offer assistance or other services which may compromise the objectivity of its certification activities and decisions;
- d) the competence of the NCB to comply with these Rules shall be demonstrated by assessment. The general competence, efficiency, *experience, familiarity with the relevant standards and the products included in those standards as well as compliance with applicable parts of the relevant ISO/IEC Guides²⁾ shall be taken into consideration. Accreditation, if any, shall be taken into account when a recognized national accreditation body provides an accreditation service in the country. See also annex A.

NOTE *Experience is considered sufficient when at least 10 Certificates have been issued for the product category applied for but at least one Certificate for the specific part 2 standard applied for.

NOTE NCBs are encouraged to recognize CB Test Certificates over a wider product area than covered by their right to issue CB Test Certificates.

5.2.2 An application for the acceptance of an NCB to issue CB Test Certificates for one or more specified individual products in compliance with specified standards accepted for use in the IECEE shall be made by the candidate NCB, via the Member Body of the IECEE in the country of the candidate NCB.

The application shall be submitted to the Secretary of the IECEE and shall be accompanied by a declaration as detailed in annex A.

NOTE When a laboratory is integrated in the organization of the NCB, the application according to this subclause for the NCB and 5.3.2 for the testing laboratory may be combined.

2) At the time of issue of these Rules, those Guides are 25 and 65

5.2.3 The candidate Issuing and Recognizing NCB shall be assessed by three experts to be appointed by the Secretary of the IECEE with a view to determining whether the conditions according to 5.2.1 are fulfilled. These assessors shall normally be recruited from Issuing and Recognizing NCBs.

At the discretion of the IECEE Secretary, the number of experts may be reduced or increased to accommodate the scope of the application and the size of the candidate NCB.

When a testing laboratory is to be assessed on the same occasion, a combined assessment team of three persons may be appointed.

The candidate NCB shall be given the names and qualifications of the assessors proposed to be appointed by the Secretary of the IECEE. Candidates may object "for cause" (reasons to be stated) to the appointment of the assessors. The mandate given to the assessors shall be clearly defined and made known to the candidate. The mandate shall include critical assessment of any national differences from IEC standards.

The NCB to be assessed shall express its willingness to pay the travelling and living expenses and other applicable fees (see 5.4) arising from the assessment. An estimate of these expenses and fees shall be provided to the candidate NCB in advance by the assessors and agreed to by the candidate NCB.

During the assessment visit, the assessors shall prepare a draft report which shall be discussed with the management of the candidate NCB. If requested in the application, another draft report shall also be prepared on a preliminary assessment covering additional products or standards, pending formal application for an extension of acceptance to be submitted in accordance with 5.2. A report on preliminary assessment is referred to as a pre-assessment report. Efforts should be made to resolve any differences of opinion between the assessors and the NCB during the discussion of those reports.

5.2.4 The assessors shall submit to the Secretary of the IECEE, with a copy to the representatives of the candidate NCB, a confidential Assessment Report containing their findings and recommendations, taking into account the declaration submitted together with the application. Representatives of the candidate NCB may be invited to a meeting for discussion of its application, to respond to inquiries.

5.2.5 The "Open Part*" of the Assessment Report is posted on the dedicated restricted area of the IECEE Web Site for the IECEE Member's review and submit their comments on the Assessment Report to the IECEE Secretary within one month of the date of posting on the Web Site.

Thereafter, the Secretary will notify the candidate on the outcome whilst awaiting formal decision by the CMC at its next regularly scheduled meeting.

* NOTE The "Open Part" of the Assessment Report is composed of the Assessment Report, Annexes 1, 2 and 3 and the Non-Conformance sheets.

5.2.6 The Secretary of the IECEE shall submit a consolidated report with recommendations to the CMC for decision

5.2.7 If the outcome of the Members' review is positive, the Secretary of the IECEE shall submit a final recommendation to the CMC for decision.

5.2.8 . If the outcome of the Members' review is negative, the Secretary of the IECEE may, depending on the findings, suggest to the candidate Issuing and Recognizing NCB:

- to withdraw the application, or
- to modify the application, or
- to put the application on hold, or
- To confirm acceptance after a new series of at least three CB Certificates on products covered by similar Standards have been satisfactorily reviewed by an appointed NCB within a further one year period.
- to submit to a new assessment.

5.2.9 When an Issuing and Recognizing NCB wishes to extend its acceptance to further products or standards accepted for use in the IECEE, an application shall be made to the Secretary of the IECEE via the Member Body of the IECEE. When the NCB has been assessed within the last five years, the members of the Assessment Team which assessed the NCB should give their comments on the application.

The CMC shall decide whether an extension can be given on the basis of the information thus available and of existing and applicable pre-assessment reports, if any, or whether a full or limited assessment will be needed.

5.2.10 The CMC may delegate the decisions according to 5.2.7 and 5.2.8 to the Officers of the IECEE to be made by correspondence between meetings (see 8.9 of Publication IECEE 01).

5.2.11 By means of re-assessment every three (3) years, the assessors shall verify whether the conditions of 5.2.1 are still fulfilled.

5.2.12 The acceptance of an Issuing and Recognizing NCB may be suspended or withdrawn by the CMC on recommendation of the Secretary of the IECEE if that NCB no longer fulfils the conditions of 5.2.1 or if it violates these Rules. Before such a recommendation is made, the NCB shall be given the opportunity to take corrective action over a period of six months and state its own opinion on the matter (see also 4.3.9 and 4.5).

In case of a suspension, the NCB in question shall not be allowed to claim relations with the IECEE or the CB Scheme.

5.3 Acceptance of testing laboratories as CB Testing Laboratories

NOTE Applications for acceptance of an NCB and associated testing laboratory(ies) proposed by the candidate NCB may be submitted together or as one combined application, and their assessment according to 5.2 and 5.3 may also be combined.

5.3.1 Acceptance of a testing laboratory as a CBTL is subject to the procedures stipulated in 5.3.2 to 5.3.12 and to the following conditions:

a) Whether or not the testing laboratory has its domicile in the country of the Issuing and Recognizing NCB which is proposing it for the specified individual products and for the standards concerned, it may be eligible for acceptance as CBTL to participate in CB Scheme. In this case, the candidate laboratory shall either

- be an integral part, such as a department, division, branch or subsidiary of that Issuing and Recognizing NCB, or
- be under the complete technical and legal control of that Issuing and Recognizing NCB, or
- have a written agreement with that Issuing and Recognizing NCB clearly outlining the commitment, duty and responsibility of both parties to follow these Rules;

A CBTL shall not be permitted to participate in the CB Scheme for an IEC Standard accepted for use in the Scheme when its responsible NCB through its Member Body has not declared adherence to that IEC Standard.

A CBTL shall not be permitted to participate in the CB Scheme for more than one NCB in the same product category(ies)/standard(s).

However, a CBTL is permitted to participate in the CB Scheme for more than one NCB in different product category(ies)/standard(s).

- b) a CBTL shall not be, or be influenced by, a body which manufactures or trades in electrotechnical equipment and components. Furthermore, the CBTL shall be impartial and not offer assistance or other services which may compromise the objectivity of its testing activities and decisions;
- c) the competence of the testing laboratory shall be demonstrated by assessment. The general competence, efficiency, experience, familiarity with the relevant standards and the products included in those standards as well as compliance with applicable parts of the relevant ISO/IEC Guides³⁾ shall be taken into consideration. Accreditation, if any, shall be taken into account when a recognized national accreditation body provides an accreditation service in the country.
- d) Experience is considered sufficient when at least 10 Test Reports have been issued for the product category applied for but at least one Test Report for the specific part 2 standard applied for.

5.3.2 An application for the acceptance of a laboratory as a CBTL for testing of specified individual products according to one or more standards accepted for use in the IECEE and which are in the scope of the Issuing and Recognizing NCB proposing the candidate laboratory, shall be made by the NCB, via the Member Body of the IECEE for that NCB.

The application shall be submitted to the Secretary of the IECEE and shall be accompanied by a declaration as detailed in OD-CB2013.

NOTE When the laboratory is integrated in the organization of an NCB for which an application according to 5.2.2 will be submitted at the same time, the two applications may be combined as one application.

5.3.3 The candidate testing laboratory shall be assessed by three experts to be appointed by the Secretary of the IECEE with a view to determining whether the conditions according to 5.3.1 are fulfilled. These assessors shall normally be recruited from Issuing and Recognizing NCBs and CBTLs. At least one member shall belong to a CBTL.

At the discretion of the IECEE Secretary, the number of experts may be reduced or increased to accommodate the scope of the application and the size of the candidate CBTL.

When the laboratory is integral with a candidate NCB, or is to be assessed on the same occasion as a candidate NCB, a combined assessment team of three persons may be appointed.

A designated representative of the responsible NCB shall always be present during the assessments, follow-up assessments and re-assessments of the CBTLs for which the NCB is responsible. When the CBTL is operating with more than one NCB, unless otherwise agreed between the NCBs and accepted by the IECEE Secretary, each responsible NCB shall delegate one representative to be present during the relevant assessments, follow-up assessments and re-assessments.

3) At the time of issue of these Rules, those Guides are 25 and 65

The candidate shall be given the names and qualifications of the assessors proposed to be appointed by the Secretary of the IECEE. Candidates may object “for cause” (reasons to be stated) to the appointment of the assessors. The mandate given to the assessors shall be clearly defined and made known to the candidate.

The laboratory to be assessed shall express its willingness to pay the travelling and living expenses and other applicable fees (see 5.4) arising from the assessment. An estimate of these expenses shall be provided to the candidate laboratory in advance by the assessors and agreed to by the candidate laboratory.

During the assessment visit, the assessors shall prepare a draft report which shall be discussed with the management of the candidate testing laboratory. If requested in the application, another draft report shall also be prepared on a preliminary assessment covering additional products or standards, pending formal application for an extension of acceptance to be submitted in accordance with 5.3. A report on preliminary assessment is referred to as a pre-assessment report. Efforts should be made to resolve any differences of opinion between the assessors and the testing laboratory during the discussion of those reports.

5.3.4 The assessors shall submit to the Secretary of the IECEE, with a copy to the representatives of the candidate testing laboratory, a confidential report containing their findings and recommendations, taking into account the declaration submitted together with the application. Representatives of the candidate testing laboratory may be invited to a meeting for discussion of its application, to respond to inquiries.

5.3.5 The “Open Part” of the Assessment Report is posted on the dedicated restricted area of the IECEE Web Site for the IECEE Member’s review and submit their comments on the Assessment Report to the IECEE Secretary within one month of the date of posting on the Web Site.

Thereafter, the Secretary will notify the candidate on the outcome whilst awaiting formal decision by the CMC at its next regularly scheduled meeting.

* NOTE: The “Open Part” of the Assessment Report is composed of the Assessment Report, Annexes 1, 2 and 3 and the Non-Conformance sheets.

5.3.6 The Secretary of the IECEE shall then submit a consolidated report with recommendations to the CMC for decision.

5.3.7 If the outcome of the Members’ review is positive, the Secretary of the IECEE shall submit a final recommendation to the CMC for decision.

5.3.8 If the outcome of the Members’ review is negative, the Secretary of the IECEE may, depending on the findings, suggest to the candidate laboratory and to the Issuing and Recognizing NCB proposing its candidacy:

- to withdraw the application, or
- to modify the application, or
- to put the application on hold, or
- to confirm acceptance after a new series of at least three Test Reports on products covered by similar Standards have been satisfactorily reviewed by an appointed NCB within a further one year period.
- to submit to a new assessment.

5.3.9 When a CBTL wishes to extend its acceptance to further products or standards accepted for use in the IECEE, an application shall be made to the Secretary of the IECEE via the Member Body of the IECEE. When the laboratory has been assessed within the last five years, the members of the Assessment Team which assessed the laboratory should give their comments on the application.

The CMC shall decide whether an extension can be given on the basis of the information thus available and of existing and applicable pre-assessment reports, if any, or whether a full or limited assessment will be needed. The matter shall be submitted to the CMC for decision at a meeting or handled according to 5.3.10.

5.3.10 The CMC may delegate the decision according to 5.3.8 and 5.3.9 to the Officers of the IECEE to be made by correspondence between meetings (see 8.9 of Publication IECEE 01).

5.3.11 When a CBTL has operated successfully within the CB Scheme for at least two years and the NCB has issued at least 40 CB Test Certificates during that time for that laboratory, so that the Member Bodies of the IECEE are convinced of its high competence and experience, that NCB may, via the Member Body of the IECEE, submit an application to the Secretary of the IECEE on behalf of that laboratory for extension of its acceptance to further standards within the same or similar categories of products. Such an application shall contain a statement that the laboratory has procured the necessary testing equipment and contain the recommendation of the NCB.

5.3.12 The Secretary of the IECEE shall give his recommendation to the CMC for decision.

5.3.13 An Issuing and Recognizing NCB, which has operated successfully within the CB Scheme for at least two years and has issued at least 40 CB Test Certificates during that time, may submit to the Secretary of the IECEE, applications via the Member Body of the IECEE for recognition of other CBTLs within its technical area of acceptance under the Scheme.

The Secretary of the IECEE shall consider whether an assessment is needed and give his recommendation to the CMC for decision.

5.3.14 By means of re-assessment every three (3) years, the assessors shall verify whether the conditions of 5.3.1 are still fulfilled.

5.3.15 The acceptance of a CBTL may be suspended or withdrawn by the CMC, on recommendation of the Secretary of the IECEE, if the laboratory no longer fulfils the conditions of 5.3.1 or if it violates these Rules. Before such a recommendation is made, the laboratory and the NCB involved shall have the opportunity to take corrective action over a period of six months and state their own opinion on the matter (see also 4.3.9 and 4.5).

5.3.16 CBTLs should participate in the Committee of Testing Laboratories (CTL) of the IECEE. If that is not possible, the laboratory shall be kept informed about the decisions and recommendations of the CTL by the national Member Body of the IECEE. The use of the CTL Decisions is compulsory for the CBTLs.

5.4 Fees

5.4.1 A uniform daily assessment fee, the amount to be decided by the CMC, per assessor for each day spent on the assessment shall be invoiced by the employer of each assessor directly to the candidate NCB or CBTL.

5.4.2 A fee, the amount to be decided by the CMC, shall be remitted to the IECEE account by the applicant NCB or CBTL for each new request for acceptance or for extension of scope of existing acceptance.

6 Procedures for handling CB Test Certificates

6.1 General

6.1.1 An application for obtaining a CB Test Certificate may be made by an applicant to any Issuing and Recognizing NCB accepted for the relevant standard.

The applicant will be the holder of the CB Test Certificate.

6.1.2 The applicant may be a manufacturer or 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.

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

6.1.3 The application may cover one or more factories within one or more countries, where the product will be manufactured.

6.1.4 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 Test Certificate 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.

6.1.5 Unless otherwise agreed between the applicant and the NCB, the tests shall be carried out by an accepted CBTL on the request of the NCB. Specific rules for utilization by an NCB of a manufacturer's test facilities are given in OD-CB2027.

6.2 Procedure for obtaining a CB Test Certificate

6.2.1 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 will be manufactured;
- name, trade marks 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.

6.2.2 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 specimens needed for the testing.

6.2.3 Upon receipt of an application for a CB Test Certificate, the relevant Issuing and Recognizing NCB shall within one month arrange for testing of the relevant equipment. If the result of the tests is favourable, the NCB concerned shall sign and issue a CB Test Certificate to the applicant and send at the same time a copy of the certificate (not the attached Test Report) to the Secretary of the IECEE.

6.2.4 The applicant may also request testing to cover national differences in countries in which the CB Test Certificate is to be used.

If additional tests have been carried out, a report of the results may be attached to, and considered to be a part of, the Test Report.

6.2.5 When the application covers more than one factory, the address of each factory shall be stated in the CB Test Certificate and the Issuing and Recognizing NCB shall take steps to ensure that the products from all the factories are equal. That shall be confirmed in the Test Report.

6.2.6 The application, the results of the work done and the information obtained in connection with the application for a CB Test Certificate shall be confidential. However, basic identification data for the product may be published after the date of issue, unless particular confidentiality is agreed between the applicant and the Issuing and Recognizing NCB.

6.2.7 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.

6.3 Procedure for recognition of CB Test Certificates

6.3.1 When an applicant applies to a Recognizing or to an Issuing and Recognizing NCB for national certification or approval of a product on the basis of a CB Test Certificate, the application shall be accompanied by a copy of the CB Test Certificate with the attached Test Report and, if relevant, with attached reports covering national differences and, if required by the NCB, by a specimen of the product.

6.3.2 When applying for national certification or approval on the basis of a CB Test Certificate, an applicant shall follow the rules of procedure applicable in the country concerned and shall confirm readiness to comply with all the relevant national provisions regarding, for example, retesting, checking, factory surveillance, and payment of fees, as if the equipment had been tested in accordance with the procedures valid in that country.

6.3.3 The NCB shall examine the CB Test Certificate submitted and any required specimen to the extent considered necessary for the identification of the relevant equipment and for the recognition of the CB Test Certificate.

If the result of this examination is favourable, national certification or approval shall be granted by the NCB without additional testing following its own statutes and rules of procedure. However, if the test report does not cover declared national differences, if any, these should first be tested.

The NCB retains the right to test further the equipment to ascertain whether or not the equipment complies with the relevant standard. Such additional testing should be kept to a minimum.

6.3.4 The NCB may challenge the CB Test Certificate when it is more than three years old or when the standard according to which it was issued is no longer in force in the country of the NCB (see also 4.3.7).

6.3.5 The NCBs are encouraged to handle applications for recognition of CB Test Certificates within 15 working days.

6.3.6 Should the NCB receiving a CB Test Certificate for recognition consider it to have been issued in error, the NCB that issued the certificate 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.

6.3.7 The NCBs shall have the right to keep for reference photographs, technical documentation and specimens or, for large equipment, parts of such equipment, when required according to their rules. Such reference material shall be confidential.

Annex A
Operational Documents
(NORMATIVE)

OD-CB2000 - Index	OD-CB2019 - Manufacturers participating in IECEE Manufacturer's Testing Programs
OD-CB2001 - Basic Rules - IECEE 01	OD-CB2020 - TRF Guide
OD-CB2002 - Rules of Procedure - IECEE 02	OD-CB2021 - Claim of Capability to test/certify
OD-CB2003 - List of Participants in the CB-Scheme	OD-CB2022 - IECEE-CMC Decisions of Current Interest
OD-CB2004 - Assessment Report (NCB)	OD-CB2023 - Rules for Observers invited to attend the IECEE Meetings, including Task Forces and Working Groups
OD-CB2005 - Assessment Report (CBTL)	OD-CB2024 - Guideline for Testing Laboratories (CBTL) to prepare the List of Testing and Measuring Equipment
OD-CB2006 - Re-Assessment Guide	OD-CB2025 - Documentation for Re-Assessments - Merged into OD-CB2007
OD-CB2007 - Guidelines for Peer Assessment of Certification Bodies (NCB) and Testing Laboratories (CBTL)	OD-CB2026 - Finances
OD-CB2008 Initial Factory Audit/Inspection Form & Procedure	OD-CB2027 - Use of Manufacturers' Test Laboratories: General Principles
OD-CB2009 - Order Confirmation for Peer Assessor	OD-CB2028 - Use of Manufacturers' Test Laboratories: Operation of TMP Procedure
OD-CB2010 - Application Form (NCB)	OD-CB2029 - Use of Manufacturers' Test Laboratories: Operation of WMT Procedure
OD-CB2011 - Application Form (CBTL)	OD-CB2030 - Use of Manufacturers' Test Laboratories: Operation of SMT Procedure
OD-CB2012 - Sub-Contracting of Testing Activities	OD-CB2031 - Use of Manufacturers' Test Laboratories: Operation of RMT Procedure
OD-CB2013 - Listing of Authorized CB Test Certificates Signatories	OD-CB2032 - Assessment of Manufacturers Test Laboratories
OD-CB2014 - Declaration of Certification and Testing experience - Cancelled	OD-CB2033 - Process elements related to infringements of the Rules
OD-CB2015 - Associated CB Testing Laboratories (ACTLs) to Operate with accepted CBTLs	OD-CB2034 - Dual Contracted Engineer (DCE) for TMP, WMT and SMT programs
OD-CB2016 - Check List for Product Certification Bodies	OD-CB2035 - Update Questionnaire for IECEE Members
OD-CB2017 - Check List for Testing and Calibration Laboratories	OD-CB2036 - Acceptance of NCBs to take part in the Component Recognition Program
OD-CB2018 - Working Groups and Task Forces	OD-CB2037 – CB Test Certificates
	OD-CB2040 – Common Understanding of ISO/IEC 17025