

**IECEE**

**CB-SCHEME**

**OD-CB2006-Ed.3.4**

**OPERATIONAL & RULING DOCUMENTS**

**GUIDELINES AND INFORMATION FOR  
IECEE ASSESSORS RELATED TO IECEE  
PEER ASSESSMENT**

**DRAFT**

**Draft OD-CB2006-Ed.3.4**

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IECEE Secretariat, 3, rues de Varembe, Geneva, Switzerland, Telefax : +41 22 919 0300, e-mail : [pro@iec.ch](mailto:pro@iec.ch)



## **FOREWORD**

**The aim of this Operational Document is to provide the IECEE Assessors information and guidelines to be verified during the following on-site Assessments:**

- **Initial Assessments**
- **Follow-up Assessments**
- **Scope Extension Assessments**
- **Re-Assessments.**

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# IEC System for Conformity Testing and Certification of Electrotechnical Equipment and Components CB Scheme

## INTRODUCTION

The Assessment programme's aim is to evaluate whether the candidate NCB and/or CBTL is capable and competent to test and/or certify products against a range of IEC standards, whether they operate in accordance with ISO/IEC Guides 65 (for Certification Bodies NCBs), ISO/IEC 17025 (for the Testing Laboratory - CBTLs) and the applicable IECEE Rules and Operational Documents.

The Assessment programme's aim is also to foster confidence among the members of the IECEE.

*NOTE: An assessment is a "sampling exercise" and thus every aspect of the NCB/CBTL activities cannot be covered. It does not follow, therefore, that non-conformances do not exist in areas where no assessment can be carried out.*

## REASSESSMENTS

For Re-Assessments additional instructions are often provided in this document, however, unless stated otherwise the other assessment instructions apply.

## APPOINTMENT AND SIZE OF THE ASSESSMENT TEAMS

**Initial Assessments:** NCBs and CBTLs undergoing Initial assessments shall be assessed by three experts, to be appointed by the Secretary of the IECEE.

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.

**Follow up Assessments:** NCBs and CBTLs undergoing Follow up assessments shall be assessed by one expert, to be appointed by the Secretary of the IECEE.

At the discretion of the IECEE Secretary, the number of experts may be increased to cover the issues that will have to be assessed.

**Scope Extension Assessments:** NCBs and CBTLs undergoing Scope Extension assessments shall be assessed by one or more experts, to be appointed by the Secretary of the IECEE.

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

**Re-Assessments: Accepted** NCBs and CBTLs are Re-assessed on a regular basis every three years. Re-assessments are carried out by a team composed of one Lead Assessor and one (Expert) Assessor. At the discretion of the IECEE Secretary, the number of Assessors may be increased if the Re-assessment also includes extension(s) of the NCB/CBTL scope.

The three year Re-Assessment cycle will take place regardless of whether the previous time-scale is met.

Example:

*Normal Cycle:*

2000	2001	2002	2003	2004	2005	2006
Initial Assessment	-	-	Re-assessment	-	-	Re-Assessment

*Breakdown in First Cycle:*

2000	2001	2002	2003	2004	2005	2006
Initial Assessment	-	-	Delays occur	Re-Assessment	-	Re-Assessment



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### ACCREDITATIONS

When the assessed CBTL Members can provide a valid Accreditation according to ISO/IEC 17025 (current version) within the same, or greater accepted IECEE scope, the accreditation shall be considered to fulfil the IECEE requirements. Where the accreditation scope is lesser than the IECEE scope, the accreditation may also be considered to fulfil the IECEE requirements provided that the accredited quality management system of the CBTL also applies to the additional activity of the laboratory within the IECEE.

However, such background shall not preclude, in any case, the assumption that the IECEE requirements are met without verifying the effectiveness of the practical operation of both NCBs and CBTLs in accordance with the common agreed practices of testing and certification activities defined “*de jure*” by the IECEE.

### STAFF EXPERIENCE

When the declared years of experience is considered to be low or not sufficient, the assessment team should make a professional judgment based upon interviews on the awareness and knowledge of the standards, witnessing of Test Report review, witnessing of testing and measuring as well as CV information e.g. previous employments and function, training programmes completed. The professional judgement shall also include the assessment of the previous experience that the assessed staff member may have had in previous employment.

The experience listed in an Assessment Report for a member of staff should include the overall experience of the individual member of staff and not just the experience in the assessed organization.

### INDEPENDENCY OF THE CERTIFICATION DECISION

- sub-clause § 4.2 f) of ISO/IEC Guide 65 specifies that "The structure of the certification body shall be such as to foster confidence in its certifications. In particular, the certification body shall f 1 ensure that each decision on certification is taken by a person(s) different from those who carried out the evaluation;
- the IAF Guidance on the Application of ISO / IEC Guide 65:1996 Clause 4.2.f) of ISO/IEC Guide 65 requires that each decision on certification is taken by a person(s) different from those who carried out the evaluation. Testing and inspection, among others, are evaluation tasks.
- the IECEE procedures are very specific on this matter. OD-CB2027 (and OD-CB2020) clearly states that two CBTL or MTL signatures are required on the test report: "Tested by" or "Witnessed by" and "Authorized by". Therefore, even if the person authorizing the test report has had no involvement in the evaluation, he/she is still acting on behalf of the CBTL and cannot at the same time be making a decision on certification.

The person who takes the decision on certification (and signs the Certificate) shall be a person different from those who carried out the testing evaluation.

The only exception could be made in the case of NCB staff conducting witness testing. This could hypothetically involve only two individuals at the NCB: the first one witnessing tests; and the second reviewing, authorizing and making a decision on certification - all in one. The test report would still carry three signatures: "Tested by" (MTL), "Witnessed by" (NCB) and "Authorized by" (NCB). It would be redundant to involve a third individual at the NCB.

### ADDITIONAL INFORMATION FOR RE-ASSESSMENTS

Due to the fact that statistics show many situations related to a "0 or limited number" of issued CB-Test Certificates/Test reports for specific product categories, the related experience and the availability of equipment shall be deeply investigated.



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The re-assessment shall include verification of the previous assessment of the accepted corrective actions implementation.

The IECEE Secretary shall provide additional information about the ACAG specific recommendations or other specific issues related to the assessed NCB or CBTL in the “Particular Points to be checked” section of the re-assessment documentation webpage.

### DOCUMENTATION

A checklist of the documents required can be obtained in OD–CB 2007. These documents are provided and posted on the IEC website.

Once received by the IECEE Secretariat, the documentation is posted on the IECEE Web Site, into a dedicated restricted area identified as Assessments and Re-Assessments in Progress (Restricted to Assessment teams and Organisations to be assessed) that is accessible only to the Assessment Team and the assessed NCB/CBTL:

[http://www.iecee.org/ass\\_re\\_assess/index.htm](http://www.iecee.org/ass_re_assess/index.htm)

It is the Role of the Lead Assessor to complete the Assessment Report(s) OD-CB2004 and OD-CB 2005, however, for the sake of efficiency and to save time, it is desirable that the assessed NCB/CBTL pre-completes these ODs with as much information as possible by using the same (or compatible) virus free software.

It is also the role of the Lead Assessor to check the language of the Quality Manual, Quality Procedures and Working Instructions, making the provisional preparations to have a third party translator available during the assessment should this language not match that of the Assessment Team.

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### SCOPE OF RE-ASSESSMENT (ANNEX 1A)

The Assessment team under the leadership of the Lead Assessor shall determine in their Assessment Plan the standards they would like to assess through the IECEE Website where the scope of NCBs and CBTLs is detailed. It is the responsibility of the Lead Assessor to set up the assessment plan pertaining to the sampling of the standards to be assessed and to provide it to the assessed organisation preferably during the opening meeting of the on-site assessment.

It is underlined that Scope extensions shall be processed following the current procedure and can not be included in the Annex 1A nor can scope extensions be processed without the formal assignment by the IECEE Secretariat.

The selection of the standards & product categories shall be such to be representative of a sampling exercise and is dependent e.g. on the competence of the Lead assessor and Technical assessor and the product category that is targeted, as per the example below:



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	Scope of the CBTL	Sampling made during the on site Re-assessment
<b>EMC</b>	CISPR24(ed.1);am1;am2, 60601-1-2(ed.2), 60945(ed.4), 60947-1(ed.4), 61000-3-2(ed.2);am1, 61000-3-3(ed.1);am1, 61000-3-11(ed.1), 61131-2(ed.2), 61326(ed.1), 61547(ed.1);am1, 62053-11(ed.1), 62053-21(ed.1), 62053-22(ed.1), 62053-23(ed.1)	<b>CISPR24(ed.1);am1;am2, 62053-11(ed.1), 62053-21(ed.1),</b>
<b>HOUS</b>	60335-1(ed.2);am1;am2, 60335-1(ed.2;2nd impr);am1-am6, 60335-1(ed.3);am1;am2, 60335-1(ed.4);am1;am2, 60335-2-2(ed.4);am1;am2, 60335-2-2(ed.5);am1;am2, 60335-2-3(ed.4);am1;am2, 60335-2-3(ed.5);am1, 60335-2-4(ed.4);am1;am2, 60335-2-4(ed.5);am1;am2, 60335-2-5(ed.3);am1-am3, 60335-2-5(ed.4);am1;am2, 60335-2-5(ed.5);am1, 60335-2-6(ed.3);am1-am3, 60335-2-6(ed.4);am1, 60335-2-6(ed.5);am1, 60335-2-7(ed.3);am1;am2, 60335-2-7(ed.4);am1;am2, 60335-2-7(ed.5), 60335-2-7(ed.6);am1;am2, 60335-2-8(ed.3), 60335-2-8(ed.4);am1, 60335-2-8(ed.5);Am1, 60335-2-9(ed.4);am1;am2, 60335-2-9(ed.5);am1;am2, 60335-2-10(ed.4),	<b>60335-1(ed.3);am1;am2, 60335-2-3(ed.5);am1, 60335-2-4(ed.5);am1;am2, 60335-2-5(ed.4);am1;am2, 60335-2-9(ed.5);am1;am2,</b>
<b>OFF</b>	60825-1(ed.1);am1;am2, 60825-2(ed.2), 60950(ed.2);am1-am4, 60950(ed.3), 60950-1(ed.1), 60950-1(ed.2),	<b>60950-1(ed.2) 60825-2(ed.2)</b>
<b>TRON</b>	60065(ed.6), 60065(ed.7);am1	<b>60065(ed.7);am1</b>

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During the assessment the assessed organisation must be able to provide, on the basis of the assessment plan and upon request by the assessment team, the number of relevant certificates and test reports issued in last two years. The assessment team can then request to see these certificates or test reports as appropriate (NCB or CBTL)

*Note: if the assessed organisation is not able to provide figures for the number of test reports/CBTCs for the selected standards during the on-site assessment the lead assessor shall issue a non-conformity report for improper document control.*



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If the assessed organisation is unable to demonstrate testing/certification experience for the selected standard, the standard should still be listed in Annex 1A with indication that there is no experience, and the "not accepted" box should be checked. However, the Assessment team should assess through the documentation of the assessed organisation that the real situation is matching the statement by the organisation. Subsequently, the Assessment team shall re-consider the sampling of the standards they would like to assess.

The Assessment team will then complete the blank Annex 1A listing only those standards which have been selected from the current scope and checked during the assessment. They will provide their acceptance recommendation by ticking YES or NO as appropriate.

It is obvious that the assessment team assigned for the next round of the re-assessment shall take into account the previously selected standards and shall determine their sampling based upon this.

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**EXAMPLE OF ACCESSING THE RESTRICTED AREA OF ASSESSMENTS:**

<b>Assessments</b>	
<a href="#">CBTL ERI</a>	<a href="#">CBTL CEBEC</a>
<a href="#">NCB AENOR &amp; New CBTL CIEMAT (PV)</a>	<a href="#">NCB UL Inc., CBTL UL Northbrook &amp; New CBTL ASU (PV)</a>
<a href="#">NCB &amp; CBTL VDE (PV)</a>	<a href="#">NCB JET extension (CONT &amp; PROT) and new CBTL JET Tokyo</a>
<a href="#">NCB &amp; CBTL LGA QualiTest GmbH</a>	<a href="#">NCB &amp; CBTL RWTUV Systems GmbH</a>
<a href="#">New Candidate NCB KVALITET &amp; extension of scope CBTL KVALITET</a>	<a href="#">CBTLs GZESL, STLEA &amp; FANGYUAN (TEAM 4)</a>
<a href="#">CBTL KEMA-IEV GmbH</a>	<a href="#">New Candidate CBTL ETC Taiwan</a>
<a href="#">New Candidate CBTL CSA Cleveland</a>	<a href="#">New Candidate CBTL Nemko Taiwan</a>
<a href="#">New Candidate CBTL CETECOM</a>	<a href="#">Extension of Scope CBTL TUV RH Yokohama</a>
<b>Re-Assessments</b>	
<a href="#">NCB &amp; CBTL ITS Canada</a>	<a href="#">CBTL KVALITET</a>
<a href="#">NCB CQC, CBTLs BTIHEA, TIRT &amp; SEC (TEAM 1)</a>	<a href="#">CBTLs STIEP, TILVA &amp; SEATL (TEAM 2)</a>
<a href="#">CBTLs TIET, TICW and NEW CBTL FCII (TEAM 3)</a>	<a href="#">CBTLs GTIHEA, CEPREI, GTIES &amp; HKSTC (TEAM 5)</a>
<a href="#">NCB OVE &amp; associated CBTLs</a>	<a href="#">CBTLs ITS Stuttgart, ITS Wiesbaden &amp; ITS Kaufbeuren</a>
<a href="#">CBTL CSA Irvine</a>	<a href="#">NCB/CBTL SLG</a>
<a href="#">NCB/CBTL MET</a>	<a href="#">NCB/CBTL FM Approvals</a>
<a href="#">CBTL TUV RH Pleasanton</a>	<a href="#">NCB/CBTL BSI</a>
<a href="#">NCB ASTABEAB &amp; associated CBTLs</a>	<a href="#">CBTLs ITS Boxborough, ITS Duluth &amp; ITS Menlo Park</a>
<a href="#">NCB/CBTL PSB</a>	<a href="#">CBTL TUV RH Korea</a>



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## EXAMPLE OF A SELECTED NCB/CBTL:

[http://www.iecee.org/ass\\_re\\_assess/ass\\_etc\\_2006/ass\\_etc\\_2006.html](http://www.iecee.org/ass_re_assess/ass_etc_2006/ass_etc_2006.html)

<b>Initial Assessment 2006: New Candidate CBTL ETC (VDE)</b>	
<b>Assessment Team:</b>	
Lead Assessor: <a href="#">Mr. Masahiro Sato</a>	Confirmed
<b>Responsible NCB Assessment Contact: <a href="#">Mr. Klaus Kress</a> &amp; <a href="#">CC. Mr. Gerhard Dreger</a></b>	
<b>Assessment Date: To be advised</b>	
This assessment will be completed in conjunction with no other assessments.	
<b>Assessment Documentation (as per OD-CB2007): Incomplete</b>	
Application and Endorsement in writing from the Member Body of the country where the NCB is located	<a href="#">MB endorsement.pdf</a>
Application in writing from the NCB	<a href="#">NCB Application.pdf</a>
Application Form OD-CB2011 for candidate CBTL	<a href="#">OD-CB2011.pdf</a>
Declaration of Testing Experience	<b>Not yet available</b>
List of Testing Equipment relevant to the scope for which the Recognition is sought, OD-CB2024	<a href="#">60320 Testing equipment.pdf</a> <a href="#">60884 Testing equipment.pdf</a>
Checklist CBTL OD-CB2017	<a href="#">OD-CB2017.doc</a>
Objective evidence that the candidate CBTL: - is an integral part, such as a department, division, branch or subsidiary of the relevant NCB, or - is under the complete technical and legal control of the relevant NCB, or - a written agreement clearly outlining the commitment, duty and responsibility of both the candidate CBTL and the relevant NCB to follow IECEE Rules	<b>Not yet available</b>
Organisation Charts of the candidate showing details of how the certification decision is processed	<b>Not yet available</b>
If the candidate is accredited, Accreditation Certificate(s) and related scope. If the candidate is not accredited, Annex 2 of OD-CB2007	<b>Not yet available</b>
OD-CB2005 duly "pre-filled in" to the best extent possible	<b>Not yet available</b>
Additional documentation provided	N/A



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**EXAMPLE OF A SELECTED RE-ASSESSED NCB/CBTL:**

[http://www.iecee.org/ass\\_re\\_assess/re\\_nemkodallas\\_2006/re\\_nemkodallas\\_2006.html](http://www.iecee.org/ass_re_assess/re_nemkodallas_2006/re_nemkodallas_2006.html)

<b>Re-Assessment 2006: CBTL Nemko Dallas</b>	
<b>Assessment Team:</b>	
Lead Assessor: <a href="#">Ms. Pamela Gwynn</a>	Confirmed
Technical Assessor: <a href="#">Mr. Christopher Hee</a>	Confirmed
Joint Accreditation Body Assessment:	x
<b>Responsible NCB Assessment Contact: <a href="#">Mr. Trond Sollie</a></b>	
<b>Assessment Date: 2006-05-10/11</b>	
This assessment will be completed in conjunction with no other assessments.	
<b>Assessment Documentation (as per OD-CB2007): Complete</b>	
Checklist CBTL OD-CB2017	<a href="#">OD-CB2017.doc</a>
Organisation Charts of the candidate showing details of how the certification decision is processed	<a href="#">See OD-CB2005.doc</a>
If the candidate is accredited, Accreditation Certificate(s) and related scope. If the candidate is not accredited, Annex 2 of OD-CB2007	<a href="#">See OD-CB2005.doc</a>
Ongoing scope of acceptance (to be provided by the IECEE Secretariat for administrative scope extensions granted after the creation of Annex 1A)	N/A
OD-CB2005 duly "pre-filled in" to the best extent possible	<a href="#">OD-CB2005.doc</a>
Particular Points to be Checked by the Assessment Team	None
Previous Assessment Report(s)	<a href="#">EVAG/212/AR.pdf</a>
Additional documentation provided	none



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## TYPICAL DOCUMENTATION TO BE MADE AVAILABLE DURING THE ASSESSMENT OF NCBs

During the preparation of an on-site assessment the Lead Assessor may request the following documentation:

- a) Information about the authority under which the certification body operates;
- b) A documented statement of its product certification system, including its rules and procedures for granting, maintaining, extending, suspending and withdrawing certification;
- c) Information about the evaluation procedures and the certification process related to each product certification system;
- d) A description of the means by which the organisation obtains financial support and general information on the fees charged to applicants and to suppliers of certified products;
- e) A description of the rights and duties of applicants and suppliers of certified products, including requirements, restrictions or limitations on the use of the certification body's logo and on the ways of referring to the certification granted;
- f) Information about procedures for handling complaints, appeals and disputes;
- g) A directory of certified products and their suppliers;
- h) Agreement/Contract between the NCB and associated CBTL(s)
- i) Agreement/Contract between the NCB and associated TMPs, WMTs, SMTs, RMTs
- j) Complete certification files of each product category, including CB Test Certificates (or CB FCS CAC) and associated Test reports (or CB FCS CAR).
- k) IEC standards as per the scope
- l) IECEE-CMC list of current decisions
- m) IECEE 01, IECEE 02, IECEE 03 (if applicable), Operational Documents
- n) IECEE-CTL Decision Sheets and Operational Procedures
- o) C.V. of involved staff
- p) List of National Differences
- q) List of Regulatory requirements
- r) IECEE Training provided to NCB's staff and associated CBTL(S)
- s) Quality Manual and other associates procedures (at least the index in English).
- t) **Impartiality and Confidentiality policy**

### Additional Documentation required for CB-FCS assessments/re-assessments:

- a) Information about the Factory Inspection department (however named) capability (if any)

**In addition to assessing the NCB against ISO/IEC Guide 65, the Assessment Team should focus on the:**

- ◆ Knowledge of the personnel responsible for the area audited on CB & CB-FCS (if applicable) procedures
- ◆ Document control of standards
- ◆ Procedures relevant to:
  - a) grant, maintain, withdraw and, if applicable, suspend certification
  - b) Re-evaluation; in the event of changes significantly affecting the product's design or specification that the product may no longer comply with the requirements of the certification process.
- ◆ Application of the relevant IECEE-CMC and CTL procedures
- ◆ Review on randomly-checked completed \*"down-stream/up-stream" files,



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*\* Files that contain all information including, for example, application from Applicant/Manufacturer, setting of the type testing programme, Test Report, certification decision, etc.*



Tip: Select CB Certificates from the IECEE on-line system and track the certification process over the corresponding CBTL file:  
<http://domino.iec.ch/cbtestcert.htm>

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## IEC System for Conformity Testing and Certification of Electrotechnical Equipment and Components CB Scheme

### TYPICAL DOCUMENTATION TO BE MADE AVAILABLE DURING THE ASSESSMENT OF CBTLs

During the preparation of an on-site assessment the Lead Assessor may request the following documentation:

- a) Completed Test Reports and associated measurement records
- b) IEC Standards and related IEC interpretation sheets and CTL Decision Sheets
- c) Working instructions, Testing procedures/methods
- d) IECEE Blank Test Report Forms related to the scope for which the CBTL has been accepted
- e) Testing proficiency experience (PTPs completed)
- f) Calibration records
- g) Calibration Services and Calibration Traceability
- h) List of defined Testing Equipment/facilities
- i) C.V. of involved staff
- j) List of National Differences
- k) List of Regulatory requirements
- l) Measurement Uncertainty and Accuracy procedure(s)
- m) Sample Identification procedure
- n) Quality Manual\* and associated procedures that support the Quality Manual
- o) Impartiality and Confidentiality policy

\* If the Quality Manual and associated procedures are not in English, at least the index and headings must be in English.

#### In addition to assessing the CBTL against ISO/IEC 17025, the Assessment Team should focus on:

- a) The Laboratory's procedures for achieving traceability of records/measurements
- b) Procedures for calibration, verification and maintenance of equipment
- c) The personnel competence and capability to carry out tests on selected clauses of the standards;
- d) The adequacy between the testing requirements and the testing facilities necessary to complete the testing programme
- e) The operational staff's understanding of sensitive requirements of relevant standards and CTL decisions ;
- f) The review of selected Test Reports linked with the "Up-stream/down-stream" of the responsible NCB;
- g) The procedures agreed with the NCB regarding the acceptance of critical component;
- h) The effectiveness of the power supply system (voltage stability, current, distortion percentage, electric schematics, previous campaign of tests aimed to check the suitability of the system);
- i) The subcontracting of tests and the relevant documentation (agreements, list of instruments, distances from the subcontracted laboratory, compatibility with test sequences.
- j) Some other matters, not yet covered at present by Operational Documents, such as the existence of Satellite Laboratories owned by the assessed organisation.
- k) The Proficiency Testing Programmes undergone/undergoing.



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## THE RE-ASSESSMENT TEAM SHOULD ALSO FOCUS ON:

Previous Assessment Reports and clearance of related NCRs, and additional information arising from current issues dealt with by the IECEE Secretariat.

*NOTE : In order to verify these requirements the candidate CBTL is requested to repeat some significant tests under the scope of the application.*

## ACCEPTANCE OF STANDARDS AND PRODUCT CATEGORIES

Standards listed in Annex 1A/B of OD-CB 2004 and OD-CB2005 must detail the Standard Edition and the Amendment as applicable. This information can be extracted from the NCB's scope page e.g.: [http://www.iecee.org/CBSHEME/Scope\\_NCB/csa\\_scope.htm](http://www.iecee.org/CBSHEME/Scope_NCB/csa_scope.htm)

PRODUCT CATEGORY	CB SCHEME SCOPE	CB-FCS SCOPE
MEAS	61010-1(ed.1);am1;am2, 61010-1(ed.2),	N/A
OFF	60950(ed.3), 60950-1(ed.1), 60950-21(ed.1)	N/A

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For Initial Assessments, Follow-up Assessments and Scope Extension Assessments, the assessed NCBs/CBTLs shall show evidence of certification/ testing experience for determined IEC standards or equivalent national/regional standard (1).

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

*NOTE(1) : testing/certification on the basis of national/regional standard can be taken into account if the relevant standards are reasonably harmonized to IEC standards.*

**As a result of the assessment of the NCBs/CBTLs experience the Lead Assessor's shall either:**

a) Tick the box(es) "accepted" in the relevant part of Annex 1 of OD-CB2004 and/or OD-CB2005 when at least 10 Certificates/Test Reports have been issued for the product category applied for but at least one Certificates/Test Reports for the specific part 2 standard applied for.

b) To tick the box(es) "not accepted" in the relevant part of Annex 1 of OD-CB2004 and/or OD-CB2005 when less than 10 Certificates/Test Reports have been issued for the product category applied for or no Certificates/Test Reports for the specific part 2 standard applied for.

## NON-CONFORMITY REPORTS

Root causes of the Non-conformities raised by the Assessment team and the proposed corrective actions to overcome such non-conformities do not need to be completed at the time of the assessment if the assessed organisation needs time to investigate further the non-conformities. In these circumstances the status "further investigation time needed" shall be noted in the relevant NCR accordingly. However, where the root causes are obvious, for example an assessed



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procedure deviates from the relevant written procedure, the root cause shall be reported and possibly the proposed corrective action(s).

**In all circumstances the root causes for NCRs shall be reported.**

### **ADDITIONAL ISSUES FOR RE-ASSESSMENTS**

When the assessed NCBs/CBTLs cannot show evidence of certification/ testing experience for determined standards since the last re-assessment yet wishes to maintain these standards in its scope, they may provide Claims of Capability (OD-CB 2021) up to one month after the on-site assessment to the IECEE Secretariat.

Since the Claim(s) of Capability processing is outside the task of the Assessment Team, if the latter is provided with the Claim(s) of Capability during the on-site re-assessment, the Lead Assessor shall:

- a) Tick the box(es) “not accepted” in the relevant part of Annex 1A of OD-CB2004 and/or OD-CB2005.
- b) send the Claim(s) of Capability to the IECEE Secretariat for further processing.

The aim of the Claims of Capability is to provide members NCB and CBTL the possibility to prove that, although no test/certification was made since the last re-assessment, they have the staff with the relevant qualifications and experience for the relevant standard(s), the required testing equipment, testing/certification procedure(s) and instructions and that they have tested/certified to the relevant standards in the past.

Claims of Capability to maintain standards in the scope of acceptance is exclusively related to Re-assessments and shall not be taken into account for Initial or Scope extension assessments

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**In the case of specific problems encountered during the on-site assessments that require immediate assistance please either send an e-mail or call the IECEE Executive Secretary at the following hotline numbers:**

During GMT working hours : **+41 22 9190 207, +41 22 9190 252 or +41 22 9190 247**

Outside GMT working hours: **Mobile +41 79 36 76 694**

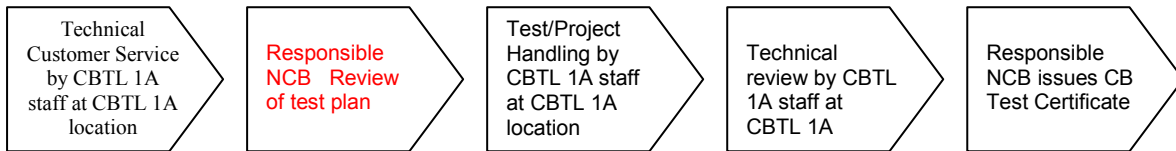


# IEC System for Conformity Testing and Certification of Electrotechnical Equipment and Components CB Scheme

## Annex

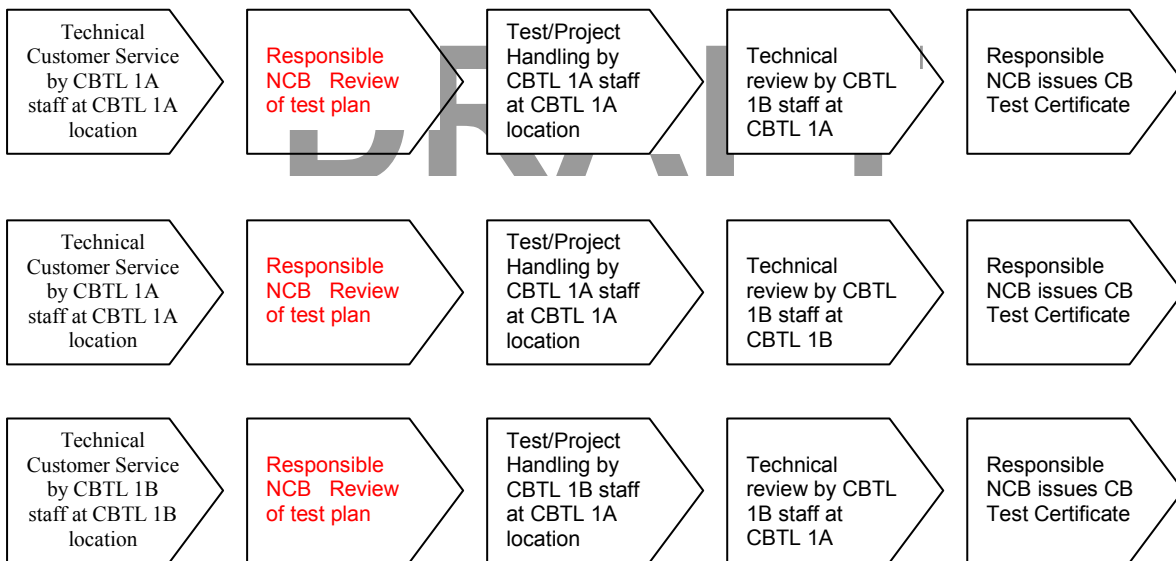
### Sharing of CBTL Staff Person(s)

Current (traditional) situation:



Sharing of CBTL staff – to be permitted as recommended by the ACAG that this is not an infringement of the Rules as long as the CBTLs operate under the same responsible NCB. Further, it has to be documented which CBTL the shared “CBTL staff person(s)” is working for and his/her documented competence (CV, training records, etc.):

(Examples only)





# IEC System for Conformity Testing and Certification of Electrotechnical Equipment and Components CB Scheme

## Annex 2

### Reference to Publications pertaining to the Application of uncertainty of measurement to conformity assessment activities in the electrotechnical sector.

- (1) Guide to the expression of uncertainty in measurement, ISO.
- (2) IECEE Guide 115, Application of uncertainty of measurement to conformity assessment activities in the electrotechnical sector.
- (3) NIST Technical Note 1297 – 1994, Guidelines for evaluating and expressing the uncertainty of NIST measurement results.

<http://emtoolbox.nist.gov/Publications/NISTTechnicalNote1297s.pdf>

- (4) Tutorial & Examples Website – **National Institute of Science and Technology. Has tutorial and examples.**

<http://physics.nist.gov/cuu/Uncertainty/index.html>

- (5) Tutorials & Examples Website – **Education with interactive tests. Has tutorial and good examples.**

[http://www.etfos.hr/~fridl/index\\_en.htm](http://www.etfos.hr/~fridl/index_en.htm)

- (6) JAB Note 4, Estimation of measurement uncertainty (electrical testing/high power testing), The Japan Accreditation Board for Conformity Assessment, 2003.

- (7) Examples Website – **Examples of Uncertainty of Measurement Calculations.**

<http://spiff.rit.edu/classes/phys376/uncert.html#single>