

**IECEE**

**CB-SCHEME**

**OD-CB2036-Ed.1.1**

**OPERATIONAL & RULING DOCUMENTS**

**OPERATION OF COMPONENT  
RECOGNITION PROGRAM (CRP)**

**OD-CB2036-Ed.1.1**

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**2005-08-24**

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

## **1 Introduction**

- 1.1 The purpose of this OD is to provide a mechanism for the mutual acceptance of component test reports as part of the process of evaluating end-products. The CRP does not qualify an NCB to issue CB Test Certificates for components.
- 1.2 The Component Recognition Program (CRP) facilitates mutual acceptance of critical components evaluated to either IEC component standards, with/without National Differences, or to non-harmonized National component standards.
- 1.3 The fact that the IECEE provides a method to address testing and acceptance of component related National Differences does not diminish the importance of Member Bodies taking action to harmonize with IEC component standards. The capability to test components to the appropriate IEC component standards is a requirement for all CRP participants.

## **2 Definitions**

- 2.1 Non-harmonized National component standard – A national standard that is not based on an international (ISO, IEC) standard, or has no corresponding international standard.
- 2.2 Critical Component – Any component in a particular application, where a failure, defect or malfunction would directly or indirectly result in a safety hazard.  
*Note: These are the components that are required to be listed and described in the CB Test Report.*

## **3 Concept Outline**

- 3.1 The following component scenarios are covered by the CRP:

- a) IEC component standards without national differences
- b) IEC component standards with national differences
- c) A non-harmonized national component standard - where an IEC standard exists
- d) A non-harmonized national component standard - where no IEC standard exists

The acceptance of components among countries that have adopted IEC component standards is covered by the existing IECEE basic rules and procedures.

- 3.2 The CRP comprises the following elements:

- 3.2.1 Full disclosure of:

- a) all National Differences in end-products standards, including differences for components integrated in to end-products;
- b) any additional technical/procedural requirements necessary to facilitate the acceptance of component test reports, such as Body B component-related policies\*, testing methods, specific test equipment and facilities;



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

such that Body B shall accept components tested to those requirements by NCBs/CBTLs that are 'qualified' CRP participants once they have been assessed and accepted.

*\* Note: Such as initial acceptance of components, follow up inspection, and periodic retesting. Additional component surveillance criteria may be detailed by the CMC WG8/FASP.*

3.2.2 For qualification of NCBs/CBTLs to evaluate components for acceptance in end-product, and completion of the Component Test Reports (CTR) for critical components, the NCBs/CBTLs are assessed to verify their component testing capability in accordance with this OD. This procedure covers the following two scenarios:

- a) NCBs / CBTLs currently recognized for IEC component standards – will be evaluated for testing to declared non-harmonized National component standards,
- b) NCBs / CBTLs not currently recognized for IEC component standards – will be assessed for testing to both the IEC and the non-harmonized National component standards.

*Note 1: The assessment teams for non-harmonized component standards should possess the relevant technical expertise.*

*Note 2: This does not change the current scope and rules for issuing a component CB test certificate.*

### **4 Responsibilities of Member Bodies and NCBs**

4.1 Pre-requisites (mandatory) for all Member Bodies and NCBs currently participating in the CB scheme or CB FCS are as follows.

4.2 For each end-product standard for which a Member Body has declared Adherence for participation in the CB Scheme or FCS (not only CRP participants), the Member Body as appropriate shall provide:

- a) Declaration of the details of national differences to IEC component standards.
  - Supplementary TRFs for IEC component standards, covering the National Differences.
- b) Declaration of the details of non-harmonized National component standards. TRFs based on OD-CB2020 for non-harmonized National component standards that includes:
  - description of any specific test methods  
*Note: this must be attached to the TRF if not adequately described in the standard*
  - list of required test equipment, testing facilities  
*Note: this must be attached to the TRF*
- c) Declaration from each NCB of applicable component acceptance policies and administrative procedures, if any, including for example, surveillance policy applicable to FCS.

4.3 The Member Bodies are responsible for the above declarations and must keep them declarations current and inform the IECEE Secretariat of any changes.

*Note: In the interim, the Member Body should strive to achieve harmonisation of the relevant standards.*



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

### **5 Requirements Applicable to CB Scheme and FCS**

- 5.1 For FCS signatories only, the NCB must declare differences from the procedures in IECEE 03, Clause 16, regarding the type of required surveillance and frequency, any “other conditions” placed on the continuing certification of the component must be declared.

*Note: see FCS Operation Guides as necessary [IECEE/WG8] - Factory Audit Program may develop changes to IECEE 03 in the future.*

- 5.2 Application by NCB for ‘qualification’ as Participant in the CRP:

- 5.2.1 NCB shall make an application, as per IECEE 02, for specified IEC or non-harmonized National component standards to which the NCB/CBTL wishes to have its test reports recognized by Bodies B.

- 5.2.2 The application shall include details on testing capability for each component standard (either IEC or non-harmonized National component standard), for example; test facilities, test equipment, experience, staff, etc.

- 5.3 Qualification of participants’ testing capabilities, according to OD-CB2007:

- 5.3.1 If Body A is currently accepted in the Schemes for IEC components standards, this additional qualification applies only for testing and assessment to specified Body B non-harmonized National component standards:

- a) Review of an application under the CRP by CRP reviewers appointed by the IECEE Executive Secretary. On-site assessment may or may not be required as determined by the reviewers. An example of a needed on-site assessment could be for non-harmonized National component standard that is not similar to the IEC component standard. Should on-site assessment be deemed necessary, it should be combined with another scheme re-assessment where practical.

*Note: The Assessment procedure used by the CRP reviewers is the same as for any other scheme assessment.*

- b) To determine competency, a review of a minimum of three (3) completed test report based on the non-harmonized component standard is required to be completed within a two (2) year span.

- 5.3.2 If Body A is not currently accepted in the Schemes for the IEC component standard, qualification is required for testing to specified IEC component standards and non-harmonized Body B National component standards:

- a) Review of an application by appointed “CRP reviewers”. On-site assessment will be required but should be combined with another scheme re-assessment where practical.

*Note: The assessment procedure used by the CRP reviewers is the same as any other CB assessment.*

- b) To determine competence, the pre-requisite is a minimum of ten (10) completed test reports within a two (2) year period. The minimum of ten (10) completed test reports shall include a minimum of three (3) completed test reports based upon



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

the national component standard and a minimum of three (3) completed test reports based upon the IEC component standard.

*Note: One method for Body A to learn about the requirements of IEC component standards and non-harmonized National component standard would be a workshop.*

### 6 Operation

6.1 When testing and evaluating components in end-products to IEC and non-harmonized National component standards a CRP qualified body shall:

- a) Test components in accordance with procedures based on the relevant supplementary TRFs of the target country for the National Differences to an IEC component standard or for the non-harmonized National component standards (TRFs created by the responsible member body).
- b) Document test results on the component supplementary TRFs and attach to the end-product Test Report;
- c) In FCS:
  - if a component is under a national certification, Body A shall identify the certification body or bodies in the Conformity Assessment Report (CAR). Body A shall provide Body B relevant component Test Report and certification information for a component as part of End-Product Conformity Assessment Report (CAR);
  - For non-certified components, Body A shall issue a Component Test Report (CTR) for critical components as part of the of the end-product Conformity Assessment Report (CAR). The CAR shall state whether the component is under its surveillance, and if so, include a summary of inspection procedures and the frequency
  - The surveillance report shall be provided if requested by Body B and authorized by the manufacturer.

The component test reports shall contain sufficient information that will enable the Bodies B to easily verify compliance with their National differences or non-harmonized National component standards. Body A issues Component Test Report (CTR) for critical components as part of the End-Product CB Test Report (CBTR).

6.2 Acceptance of Components in end-products

National Certification is being issued based upon a CB Test Report (CBTR) for end-product which includes one or more Component Test Reports (CTRs) for critical components.

- a) Body B reviews the component Test Reports for completeness and refers any questions to Body A.
- b) Body B must accept the component test report /CB Test Certificate on the same basis as the end-product CB Test Certificate, as specified in IECCE 02 clause 6.3.
- c) In FCS, for components:

Acceptance of Components in end-products by Body B is based upon a Conformity Assessment Report (CAR) which includes either component certification information, or one or more Component Test Reports for critical components:



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

- with valid (CB or National) certification, Body B obtains (example: from the component certification body or the manufacturer) and reviews the component surveillance program information for completeness, and refers questions to the component certification body identified in the certificate.  
*Note: Body B is expected to accept the component without a supplemental surveillance program*
- For components without valid certificates, Body B:
  - Checks with Body A if component surveillance has been performed within the last 12 months, and may request a surveillance report from Body A.
  - Refers questions to the component certification body identified in the report.

Body B accepts the end-product CBTR and Component Test Report(s) (CTR(s)).

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**IEC System for Conformity Testing  
and Certification of  
Electrotechnical Equipment and  
Components  
CB Scheme, FCS**

**ANNEX A**

*[WG5 note: These Annexes have been combined to the same page to save space when printing. They will be separated again should contents for Annex A become available from the TRF working Group]*

**ANNEX B**

**1. DOCUMENTATION FOR APPLICATIONS**

- 1.1. CRP Application for non-harmonized National standard or IEC Standard (mod. OD-CB 2010, mod. OD-CB 2011, OD-CB 2013, OD-CB 2020 and OD-CB 2022, Annex 1)
- 1.2. Application letter from the candidate NCB
- 1.3. If the candidate NCB/CBTL(s) is/are accredited, Accreditation Certificate(s) covering the relevant scope

**2. ASSESSMENT DOCUMENTATION**

- 2.1. Training records for special National standard(s)
- 2.2. Test equipment and facilities for special National standard(s)
- 2.3. Test protocols and work instructions
- 2.4. List of completed tests
- 2.5. Inspection/surveillance procedures/ documentation/ personnel
- 2.6. Procedures regarding the acceptance of certified sub-components/materials



**IEC System for Conformity Testing and Certification of Electrotechnical Equipment and Components  
CB Scheme, FCS**

**CRP PROCESS FLOWCHART**

Note: FCS includes all CB scheme steps

Activity	Body A	Body B	IECEE Secretariat	CRP Assessment Team	Manufacturer
<b>Declaration</b> - CB Scheme		Declare national differences, provide related component TRFs			
- FCS		Declare differences from Clause 16 in IECEE 03			
<b>Application</b>	File application with required documentation		Appoints and activates the CRP Assessment Team		



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

Activity	Body A	Body B	IECEE Secretariat	CRP Assessment Team	Manufacturer
<b>Qualification</b>				Reviews application documents. Carries out assessment, as necessary with the concurrence of the IECEE Secretary	
	Carries out corrective actions as necessary and reports to assessment team			Approves and notifies applicant, updates IECEE website	
<b>Operation - CB Scheme</b>	Evaluates components in end-products, completes documentation				
					Applies to Bodies B
	Provides clarifications as necessary	Refers component questions to Body A			



**IEC System for Conformity Testing and Certification of Electrotechnical Equipment and Components  
CB Scheme, FCS**

Activity	Body A	Body B	IECEE Secretariat	CRP Assessment Team	Manufacturer
		Issues National certification for the end-product			
- FCS	In addition to the above, the CAR provides ID of Component Certification Body				
	or on request, details of own surveillance on the component with their statement				
		Body B accepts the component surveillance (by either the component certifier or Body A)			



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

## 4 Responsibilities of Member Bodies and NCBs

(Whether or not they participate in the CRP)

### CB Scheme CRP Flowchart

4.1 Pre-requisites (mandatory) for all Member Bodies and NCBs currently participating in the CB Scheme or FCS are as follows.

4.2 For each end-product standard for which a Member Body has declared Adherence for participation in the CB Scheme or FCS (not only CRP participants), the Member Bodies as appropriate shall provide:

Declaration of the details of National Differences to IEC component standards.

- supplementary TRFs for IEC component standards, covering the National Differences.

4.2(b) Declaration of the details of non-harmonized Body B National component standards

I. TRFs based on OD-CB2020 for non-harmonized National Body B component standards that includes:

- description of any specific test methods Note: this must be attached to the TRF if not adequately described in the standard.
- list of required test equipment, testing facilities.

Note: this must be attached to the TRF.

4.2(c) Declaration from each NCB of applicable component acceptance policies and administrative procedures, if any, including for example, surveillance policy applicable to FCS.

4.3 The Member Bodies are responsible for the above declarations (Sub-clause 4.2) and must keep the declarations current and inform the IECEE Secretariat of any changes.

Note: In the interim, the Member Body should strive to achieve harmonisation of the relevant standards.



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

## 5 Requirements Applicable to CB Scheme CB Scheme CRP Flowchart

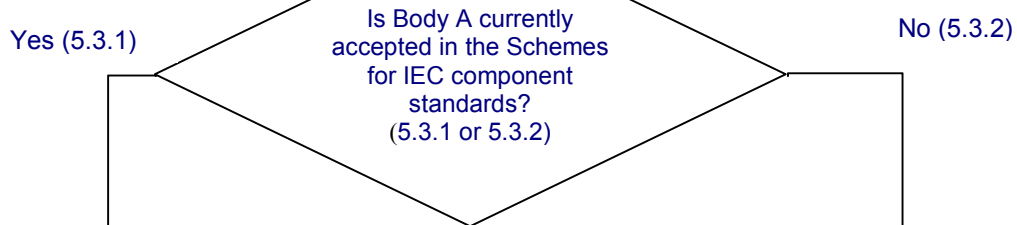
### 5 Qualification Process

5.2 - Application by NCB for "qualification" as Participant in the CRP

5.2.1 - NCB shall make an application, as per IECEE 02, for specified IEC or non-harmonized National Body B component standards to which the NCB/CBTL wishes to test and be recognized by Bodies B.

5.2.2 - The application shall include details on testing capability for each component standard (either IEC or non-harmonized National Body B component standard), for example: test facilities, test equipment, experience, staff, etc.

5.3 - Qualification of the participant's testing capabilities, according to OD-CB2007:



5.3.1 - This additional qualification applies only for testing and assessment to specified non-harmonized National Body B component standards:

5.3.1(a) - Review of an application under the CRP by CRP reviewers appointed by IEC Executive Secretary. On-site assessment may or may not be required as determined by the reviewers. An example of a needed on-site assessment could be for a non-harmonized National Body B component standard that is not similar to the IEC component standard. Should on-site assessment be deemed necessary, it should be combined with another Scheme re-assessment where practical.

Note: The Assessment procedure used by the CRP reviewers is the same as for any other Scheme assessment.

5.3.1(b) - To determine competency, a review of a minimum of one completed test report based on the non-harmonized National Body B component standard is required.

5.3.2 - Qualification is required for testing to specified IEC component standards and non-harmonized National Body B component standards:

5.3.2(a) - Review of an application by appointed "CRP reviewers." On-site assessment will be required but should be combined with another Scheme re-assessment where practical.

Note: The Assessment procedure used by the CRP reviewers is the same as for any other Scheme assessment.

5.3.2(b) - To determine competence, the pre-requisite is a minimum of ten (10) completed test reports within a two (2) year period. The minimum of ten (10) completed test reports shall include a minimum of three (3) completed test reports based upon the national component standard and a minimum of three (3) completed test reports based upon the IEC component standard.

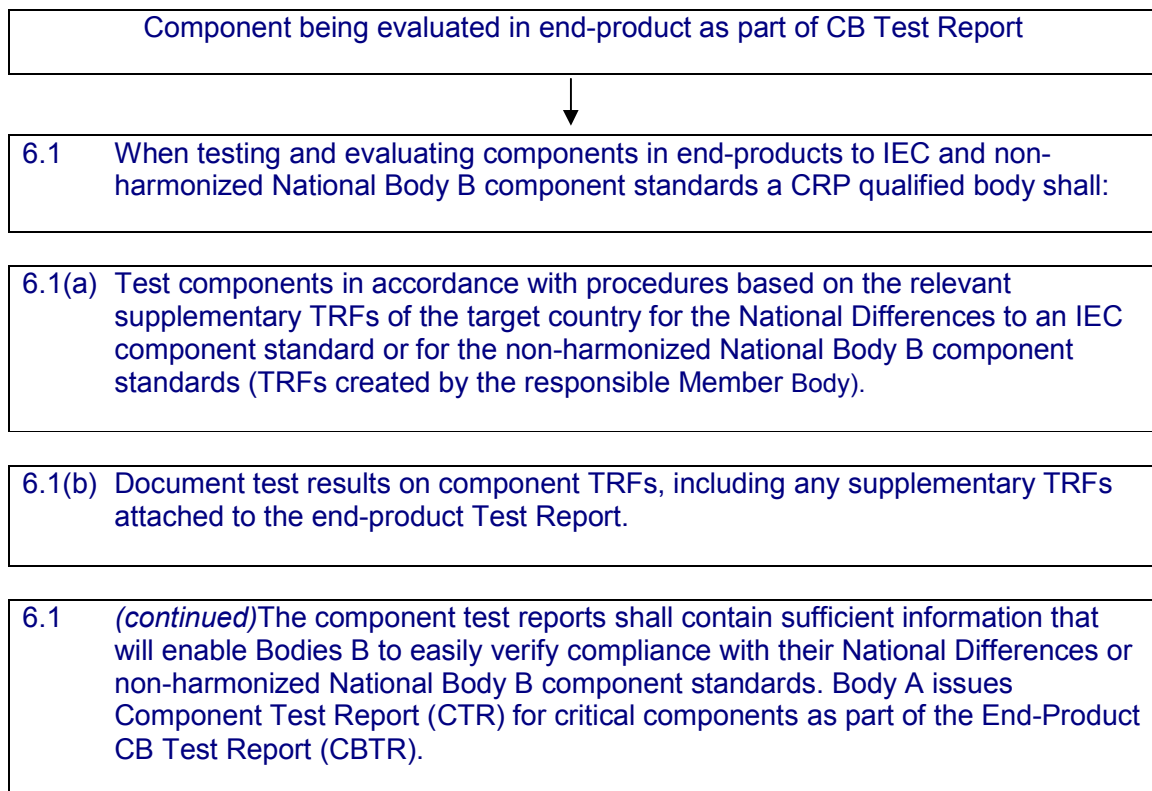
Note: One method for Body A to learn about the requirements of IEC component standards and non-harmonized National Body B component standards would be a workshop.



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

## 6 Operation CB Scheme CRP Flowchart

NCB Issuing CB Test Report (Body A)

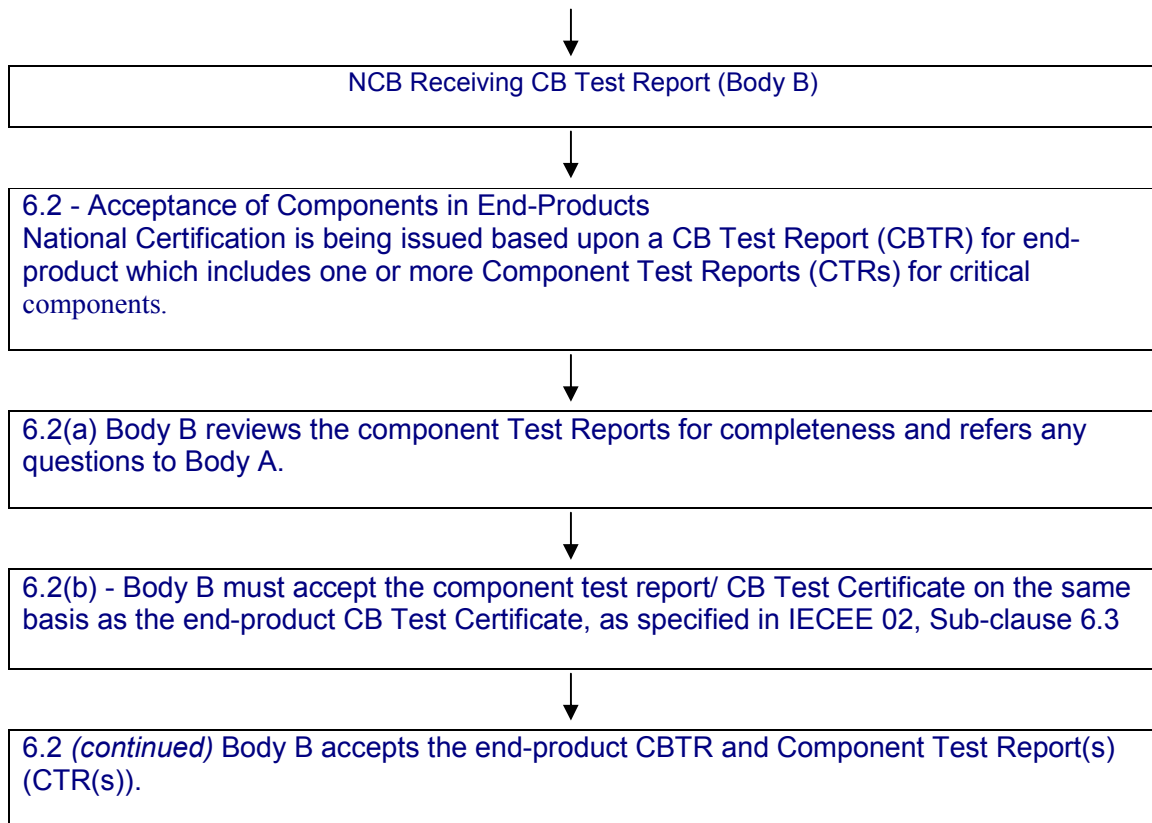




**IEC System for Conformity Testing  
and Certification of  
Electrotechnical Equipment and  
Components  
CB Scheme, FCS**

**6 Operation**

**CB Scheme CRP Flowchart**





**IEC System for Conformity Testing  
and Certification of  
Electrotechnical Equipment and  
Components  
CB Scheme, FCS**

**4 Responsibilities of Member Bodies and NCBs**  
(Whether or not they participate in the CRP)  
**CB-FCS CRP Flowchart**

4.1	Pre-requisites (mandatory) for all Member Bodies and NCBs currently participating in the CB Scheme or FCS are as follows.
4.2	For each end-product standard for which a Member Body has declared Adherence for participation in the CB Scheme or FCS (not only CRP participants), the Member Bodies as appropriate shall provide:
	Declaration of the details of National Differences to IEC component standards. <ul style="list-style-type: none"> <li>• supplementary TRFs for IEC component standards, covering the National Differences.</li> </ul>
4.2(b)	Declaration of the details of non-harmonized National Body B component standards I. TRFs based on OD-CB2020 for non-harmonized National Body B component standards that includes: <ul style="list-style-type: none"> <li>• - description of any specific test methods Note: this must be attached to the TRF if not adequately described in the standard.</li> <li>• - list of required test equipment, testing facilities. Note: this must be attached to the TRF.</li> </ul>
4.2(c)	Declaration from each NCB of applicable component acceptance policies and administrative procedures, if any, including for example, surveillance policy applicable to FCS.
4.3	The Member Bodies are responsible for the above declarations (4.2) and must keep the declarations current and inform the IECEE Secretariat of any changes. Note: In the interim, the Member Body should strive to achieve harmonisation of the relevant standards.
5.1	For CB-FCS signatories only, NCB must declare differences from the procedures in IECEE 03, Clause 16, regarding the type of surveillance and frequency, and "other conditions" placed on the continuing certification of the component must be declared. Note: See CB-FCS Operation Guides as necessary [IECEE/WG8] - Factory Audit Program may develop changes to IECEE 03 in the future.



**IEC System for Conformity Testing and Certification of Electrotechnical Equipment and Components  
CB Scheme, FCS**

**5 Requirements Applicable to FCS**

**CB-FCS CRP Flowchart**

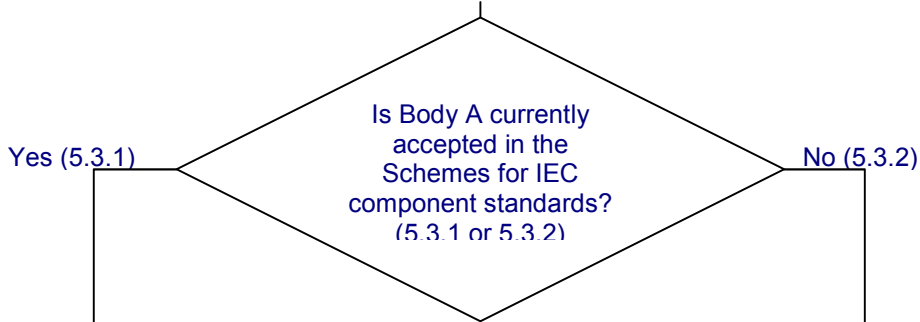
5 Qualification Process

5.2 - Application by NCB for "qualification" as Participant in the CRP

5.2.1 - NCB shall make an application, as per IECEE 02, for specified IEC or non-harmonized National Body B component standards to which the NCB/CBTL wishes to test and be recognized by Bodies B.

5.2.2 - The application shall include details on testing capability for each component standard (either IEC or non-harmonized National Body B component standard), for example: test facilities, test equipment, experience, staff, etc.

5.3 - Qualification of participant's testing capabilities, according to OD-CB2007:



**5.3.1 - This additional qualification applies only for testing and assessment to specified non-harmonized National Body B component standards:**

5.3.1(a) - Review of an application under the CRP by CRP reviewers appointed by IEC Executive Secretary. On-site assessment may or may not be required as determined by the reviewers. An example of a needed on-site assessment could be for a non-harmonized National Body B component standard that is not similar to the IEC component standard. Should on-site assessment be deemed necessary, it should be combined with another Scheme re-assessment where practical.  
Note: The Assessment procedure used by the CRP reviewers is the same as for any other Scheme assessment.

5.3.1(b) - To determine competency, a review of a minimum of one completed test report based on the non-harmonized National Body B component standard is required.

**5.3.2 - Qualification is required for testing to specified IEC component standards and non-harmonized National Body B component standards:**

5.3.2(a) - Review of an application by appointed "CRP reviewers". On-site assessment will be required but should be combined with another Scheme re-assessment where practical.  
Note: The Assessment procedure used by the CRP reviewers is the same as for any other Scheme assessment.

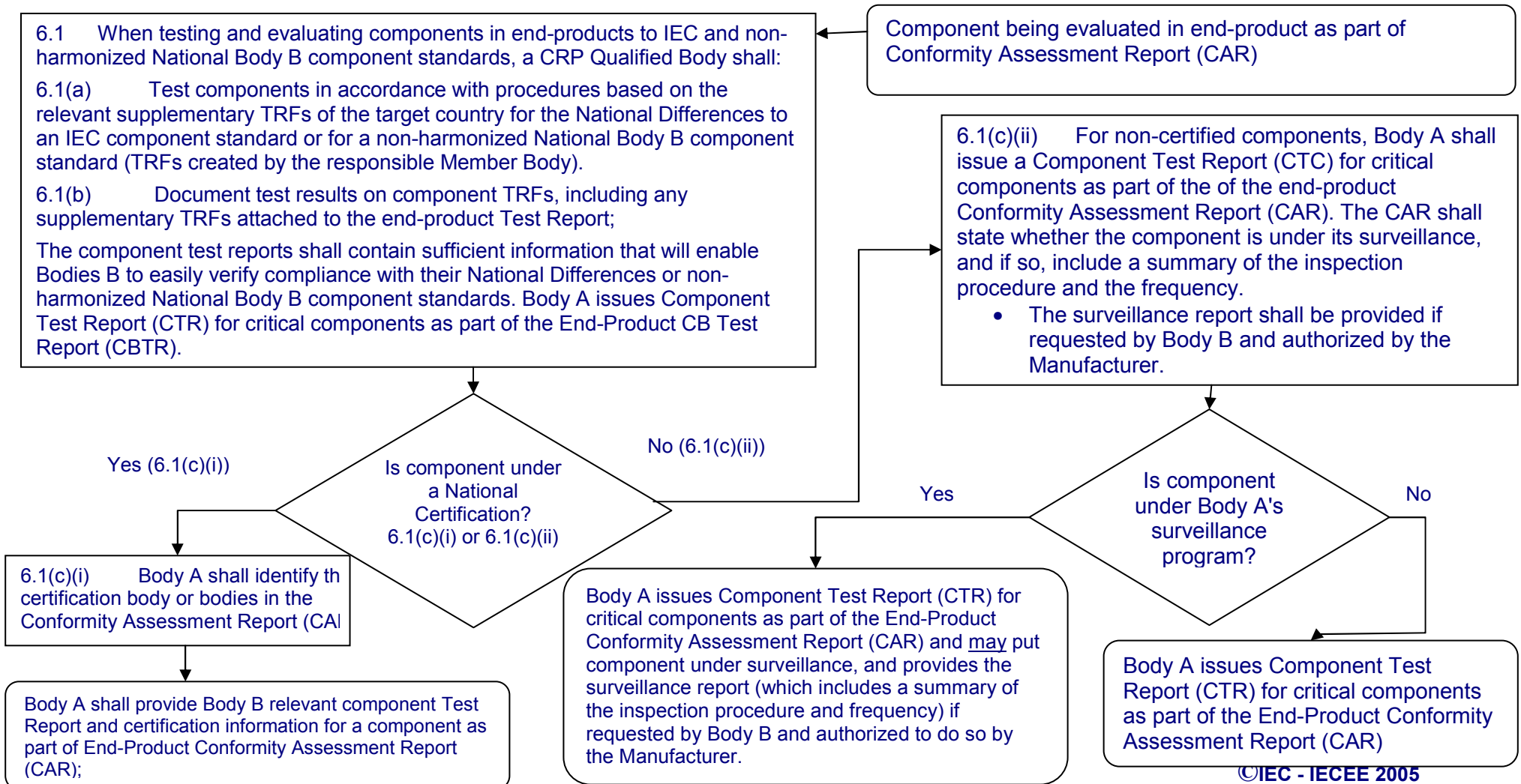
5.3.2(b) - To determine competence, the pre-requisite is a minimum of ten (10) completed test reports within a two (2) year period. The minimum of ten (10) completed test reports shall include a minimum of three (3) completed test reports based upon the national component standard and a minimum of three (3) completed test reports based upon the IEC component standard.  
Note: One method for Body A to learn about the requirements of IEC component standards and non-harmonized National Body B component standards would be a workshop.



**IEC System for Conformity Testing and Certification of Electrotechnical Equipment and Components  
CB Scheme, FCS**

**6 Operation - CB-FCS CRP**

NCB Issuing Conformity Assessment Report (Body A)





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

## 6 Operation - CB-FCS CRP

NCB Receiving Conformity Assessment Report (Body B)

### 6.2 Acceptance of Components in End-Products

Acceptance of Components in end-products by Body B is based upon a Conformity Assessment Report (CAR) which includes either component certification information, or one or more Component Test Reports for critical components:

6.2(a) Body B reviews the component Test Report for completeness and refers any questions to Body A.

6.2(b) Body B must accept the component test report/ CB Test Certificate on the same basis as the end-product CB Test Certificate, as specified in IECEE 02, Sub-clause 6.3

