

**COMMISSION
ELECTROTECHNIQUE
INTERNATIONALE**

**IECEE
03**

**INTERNATIONAL
ELECTROTECHNICAL
COMMISSION**

Quatrième édition
Fourth edition
2008-10

**Rules of Procedure of the Scheme of the IECEE for
Mutual Recognition of Conformity Assessment
Certificates for Electrotechnical Equipment and
Components (CB-FCS)**

**Règles et Procédures régissant la méthode de
l'IECEE d'acceptation mutuelle de Certificats
d'Evaluation de la Conformité selon les normes
des Equipements et Composants
Electrotechniques (OC-FCS)**



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INTERNATIONAL ELECTROTECHNICAL COMMISSION

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

FOREWORD

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

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

The annexes to this publication, if any, are normative.

The text of the amendments to IECEE 03 edition 2006 included in this edition is based on the following Document.

Document	Report on voting
IECEE-CMC/900/RM	CMC Decision

Full information on the approval of this publication can be found in the Minutes of the Certification Management Committee (CMC) meeting held in Jeju on June 10/11, 2008.

INTRODUCTION

NOTE This Introduction provides an overview of CB-FCS and is not part of these Rules of Procedure.

The IECEE Certification Body (CB) Full Certification Scheme (CB-FCS) is an extension of the IECEE CB Scheme and is an option to be exercised by the participants in the CB Scheme and by Applicants under the same IECEE management structure.

The IECEE Certification Body (CB) Full Certification Scheme (CB-FCS) is an international Scheme based on the principle of mutual recognition of Conformity Assessment Certificates by its Members as the basis for approval or certification of electrotechnical equipment and components”, at national level within the scope (see Clause 1 – Scope) of the standards accepted for use in CB-FCS.

The Scheme is intended to reduce obstacles to international trade that may arise from having to meet different national certification or approval criteria and processes. Participation of the various National Certification Bodies (NCBs) within CB-FCS 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* are taken into account; however, successful operation of the Scheme presupposes that national standards are reasonably harmonized with the corresponding IEC standards. Use of CB-FCS to its fullest extent will promote the exchange of information necessary in assisting manufacturers around the world to obtain certification or approval at a national level in one or multiple countries and regions.

Member NCBs to which an Applicant (Sub-clause 3.10) applies for a national certification or approval (NCBs “B”) accept the "Conformity Assessment Certificate" and associated "Conformity Assessment Report" issued by NCB “A” as a basis for such certification or approval. As a NCB B, an NCB’s national certification procedures should as far as possible be harmonized with these Rules of Procedure; however, if differences exist, they are formally declared to the IECEE Secretariat for publication in order that Member NCBs are able to properly cover these certification differences when acting as NCB “A”.

CB-FCS is a product certification System n° 5 as defined in ISO/IEC Guide 67

A **System No. 5** includes product type testing, product certification and assessment of the involved manufacturer’s quality management system. Surveillance of the quality management system is carried out and samples of the product may be taken from either the market or the point of production or both and may be assessed for ongoing conformity. The extent to which the three elements of ongoing surveillance are carried out can be adjusted for a given situation. As a result, this system provides significant flexibility for ongoing surveillance.

Whether or not the NCB A issues its certification mark, it remains responsible for the ongoing conformity of the product(s) for which the CAC has been granted.

CB-FCS includes the following for the NCB A:

- a) Type testing (by an accepted CBTL) on sample(s) and issuance of a CAR; and
- b) Initial Factory Inspection including the evaluation of the factory’s QMS
- c) Issuance of the CAC
- d) Follow up Factory Inspection by NCB A that in addition to assess the product, the manufacturing process and the QMS will also include sampling of the certified product for the purpose of re-testing when applicable.

CB-FCS includes the following for the NCB B:

- a) Evaluation of CAC and CAR including, if necessary, direct separate consultation with NCB A to ensure validity, initial inspection, follow up inspection, QMS surveillance and completeness of CAC and CAR

- b) Not to require test sample(s) if CAC and CAR are complete and determined to be valid
- c) Issuance of the NCB's Certification Mark and implementation of its certification procedure

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

Definitions are given in clause 3.

0. Basic Principles and Objectives

The IECEE CB Full Certification Scheme (CB-FCS) is based on the principle of mutual recognition of Conformity Assessment Certificates (CACs) by its participants as the basis for approval or certification of products at national level within the scope of the standards for electrotechnical equipment and components", as itemized in the relevant Operational Document.

The CB-FCS operates in accordance with the "Basic Rules of the IECEE" (IECEE 01), the CB-FCS "Rules of Procedure" (IECEE 03), and CB-FCS Operational Documents approved by the IECEE Certification Management Committee (CMC).

In addition to type testing resulting in the issuance of Conformity Assessment Certificates (CACs) and associated Conformity Assessment Reports (CARs), the Members commit to:

- Accept at their request Initial Factory Inspections carried out by NCB "A."
- Accept components integrated in appliances and which have been tested/verified/ inspected by NCB "A" and used within their ratings and conditions of use.
- Not request samples unless there is some valid doubt about identification or valid technical doubt.

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

IECEE CB-FCS SCHEME FOR MUTUAL RECOGNITION OF CONFORMITY ASSESSMENT CERTIFICATES FOR ELECTROTECHNICAL EQUIPMENT AND COMPONENTS

RULES OF PROCEDURE

1 Scope

This publication contains the Rules of Procedure of the IECEE CB-FCS Scheme for Mutual Recognition of Conformity Assessment Certificates for Electrotechnical Equipment and Components as the basis for approval or certification of electronic and electrical systems, equipment, products and components at national level.

This publication contains common elements of product certification System n° 1 as defined in ISO/IEC 67 as well as the common elements of the CB Scheme detailed in Publication IECEE 02.

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 or amendments of existing publications named as normative references.

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

IECEE 02: Tenth Edition, 2006, IECEE CB Scheme for Mutual Recognition of Test Certificates for Electrotechnical Equipment and Components (CB Scheme)

ISO/IEC 17000:2004, Conformity Assessment – General Vocabulary.

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

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

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 17030:2003, Conformity Assessment – General requirements for third party Marks of conformity

ISO/IEC 17040: 2005, Conformity Assessment – General requirements Peer assessment of Conformity assessment bodies and Accreditation Bodies.

ISO/IEC Guide 67 2004, Conformity Assessment – Fundamental of Product Certification.

ISO/IEC Guide 28 2004, Conformity Assessment - on third party certification system for products.

ISO 9001: 2000, Quality Management Systems - Requirements

3 Definitions

For the purposes of CB-FCS, the following definitions apply:

3.1 ISO/IEC 17000 gives the basic definitions.

3.2 NCB “A”

A National Certification Body accepted to participate in CB-FCS to which an applicant first applies to obtain a CAC and CAR.

3.3 NCB “B”

A National Certification Body accepted to participate in CB-FCS to which an applicant successively applies to be granted its certification mark, or approval, making use of the CAC and CAR issued by the NCB “A”.

NOTE An application to seek CB-FCS Membership can only be made if the NCB is recognized and accepted as member of the CB Scheme as Issuing/Recognizing Body in the last three years prior to the application.

3.4 Conformity Assessment Certificate (CAC)

A CB-FCS Conformity Assessment Certificate is a document, issued by a Member NCB, used to inform other NCBs, in conjunction with the attached Conformity Assessment Report. A Conformity Assessment Certificate is valid only when the relevant Conformity Assessment Report (in agreed harmonised form, if available) is attached.

3.5 Conformity Assessment Report (CAR)

The Conformity Assessment Report (OD CB-FCS 117) is a complete packet of product and factory information developed by the NCB “A” and made available to the NCB “B” by the applicant. It includes the following conformity assessment details to demonstrate that the product/components and the factory quality system have been fully evaluated and meets all applicable requirements:

for the product:

- a) Information including product description, product test results, observations, National Differences, etc.);
- b) Any additional information required by NCB “Bs” (if applicable and requested by the applicant)

for the factory:

- a) Initial or Surveillance Factory Audit Report as applicable.
- b) Description of the arrangements made by NCB “A” to ensure ongoing compliance of the product with the requirements. (e.g. copy of the license)

3.6 System n°5

This system includes product testing and assessment of the involved quality system. Surveillance of the quality system is conducted and samples of the product may be taken from either the market or the point of production, or both, and are assessed for ongoing conformity.

This certification system includes the following:

- samples requested by the certification body;
- determination of characteristics by testing or assessment;
- initial assessment of and its application to production process;
- evaluation of the test and assessment reports;
- decision;
- licence;
- surveillance of the quality system and the production process of the organization;
- testing or inspection of samples from the factory or the open market, or both.

NOTE The extent to which the three elements of ongoing surveillance are conducted may be adjusted for a given situation. As a result, this system provides significant flexibility for ongoing surveillance.

3.7 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 of Procedure, is accepted into CB-FCS .

NOTE An application to seek CB-FCS Membership can only be made if the CBTL is recognized and accepted to operate within the CB Scheme in the last three years prior to the application.

3.8 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.

3.9 applicant

A firm or a person who applies to an NCB "A" for obtaining a CAC or to an NCB "B" for national certification or approval at the national level based on acceptance of the CAC and associated CAR issued by an NCB A.

3.10 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 this connection.

3.11 standards used in the IECEE Schemes

The IECEE is based on the use of specific IEC standards for electrotechnical equipment and components accepted by the CMC for use in the IECEE.

Specific CAB approval is required should the CMC propose to make use of normative documents, other than IEC standards.

3.12 factory

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

3.13 Acceptance of Standards used in the IECEE Schemes

At the time of application, a formal declaration made by the IECEE National Certification Body (NCB) to the IECEE Secretariat that the NCB accepts the relevant Standards used in the IECEE Schemes, as the basis for the national certification.

3.14 extension of scope

a formal application made by the NCB to the IECEE Secretariat, with copy to 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 standards.

3.15 operational document (OD)

a normative document approved by the CMC and used to cover the various operations within CB-FCS. Operational Documents are used in conjunction with the Basic Rules IECEE 01 and Rules of Procedure IECEE 03.

3.16 Scope of NCB and its associated CBTL(s)

The standards for which the NCB and its associated CBTL(s) have been formally accepted by the IECEE.

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 for Conformity Testing and Certification of Electrotechnical Equipment and Components (IECEE) operates a Full Certification Scheme (FCS) system n°5 with the aim of facilitating international trade by promoting and simplifying certification and approval at national level through mutual recognition of product testing results and conformity assessment. CB-FCS Conformity Assessment Certificates (CACs) with an accompanying Conformity Assessment Report (CAR) are used as the means for mutual recognition by the participating NCBs.

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

4.1.3 The CB-FCS is applicable to **Electrotechnical Equipment and Components** within the scope of IEC standards, accepted for use in the IECEE. CB-FCS becomes operative for such standards as soon as **NCBs operating in the FCS of** at least three Member Bodies of the IECEE, has declared recognition of CACs.

4.1.4 The IECEE Certification Management Committee (CMC) governs operation of CB-FCS. The CMC's 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.

4.1.6 Advertising or sales promotion making reference to the IECEE FCS Scheme for products/components for which a FCS Conformity Assessment Certificate has been issued may be used if it is not misleading.

4.1.7 Modifications to products declared in a valid CB-FCS Conformity Assessment Certificate are limited to three, after which a new CB-FCS Conformity Assessment Certificate shall be issued and a new surcharge levied if applicable (see OD-CB2026). This shall not preclude issuing a new CB-FCS Conformity Assessment 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-FCS Conformity Assessment Certificate, i.e. the letter "M" followed by "1," "2" or "3," the CB-FCS Conformity Assessment Certificate shall clearly identify the nature of such "Modifications" under "Additional Information".

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

4.1.8 A CB-FCS Conformity Assessment Certificate may be cancelled by the issuing NCB "A" if

- the CAC is misused,
- the CAC has been issued in error,
- the equipment no longer corresponds to the specimens tested and described in the associated CA., or
- the holder of the CAC requests cancellation.

4.1.9 When a **CAC** has been cancelled, the Secretary of the IECEE shall be notified as soon as possible by the issuing NCB A, which shall state the reason for cancellation.

The Secretary of the IECEE shall inform all NCBs participating in CB-FCS for the standard concerned that the relevant CAC 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 CAC should be revoked.

4.2 Participation in CB-FCS

4.2.1 Member Body

4.2.1.1 Membership of the IECEE is open to any country in which there is a Member National Committee of the IEC, as defined in Article 5 of the Statutes of the IEC.

Membership of IECEE is also open to non-IEC countries under certain conditions.

NOTE Information related to the "certain conditions" will be provided by the IECEE Secretary upon request.

The Member Body of the IECEE shall be representative of the national conformity assessment community in electrotechnology. It may be either

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

4.2.1.2 A Member Body of the IECEE can be either

- a) a Member Body with Issuing and Recognizing National Certification Body or Bodies (NCB(s)),
- b) a Member Body with Recognizing National Certification Body(ies) only, or
- c) a Member Body with neither Issuing and Recognizing National Certification Body(ies) nor Recognizing National Certification Body(ies).

4.2.1.3 There shall be only one Member Body of the IECEE in a particular country.

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

4.2.1.4 Application for membership to be a Member Body shall be submitted to the IECEE Secretary by the National Committee of the IEC of the country in which the candidate Member Body is domiciled. The candidate Member Body shall undertake to abide by the Basic Rules of the IECEE, IECEE 01.

4.2.1.5 Each candidate Member Body of the IECEE shall communicate the following information relevant to the recognition of CB-FCS Conformity Assessment 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.

4.2.1.6 The membership is subject to acceptance by the CMC.

4.2.1.7 Each accepted Member Body of the IECEE shall inform the Secretary of the IECEE about any changes in the information given according to 4.4.1.1 to 4.4.1.5

4.3. National Certification Body (NCB)

4.3.1 Any Member Body of the IECEE shall have the right to nominate a candidate NCB(s) under the conditions stated in the present rules

4.3.2 The membership is subject to acceptance by the CMC.

4.3.3 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 of Procedure. An NCB shall not be, nor be influenced by, a body that manufactures or trades in electrotechnical equipment and components”.

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

4.3.4 When certification or approval is needed in a country as a condition to sell a product, the candidate NCB shall declare that the national certification or approval can be based on a CB-FCS Conformity Assessment Certificate. When other conditions have to be fulfilled, they shall also be declared for later publication in the CB Bulletin, Web Site, etc.

4.3.5 PRE-REQUISITES for Candidate NCBs

To be eligible to be accepted as a candidate NCB to participate in CB-FCS, the NCB must have operated within the IECEE CB Scheme during the last 3 years prior the application being submitted to the IECEE Secretariat.

In addition the candidate NCB shall meet the following criteria:

- a) To issue a certification mark with a demonstrated market value,
- b) To operating a Certification program complying with ISO System 5 System with all the product certification functions and their "elements of conformity" implemented in practice.
- c) Completed, within the last three years, a minimum of 100 Factory Inspections (Initial and Follow up/surveillance) relevant to the product category(ies)/standard(s) for which the NCB is seeking acceptance,
- d) Prepared to accept initial and follow up Factory Audit/Inspection Reports issued by the CB-FCS Members,
- e) Annually tested at least 10 products falling under the scope of the product category(ies)/standard(s) for which the NCB is seeking acceptance.
- f) Shall have an acceptable level of National Differences that are fully declared for the product category(ies)/standard(s) for which the NCB is seeking acceptance.

4.3.6 REQUISITES for all NCBs applying for membership of the FCS:

- a) To abide by these CB-FCS Rules of Procedure.
- b) To settle a Membership Fee as decided by the CMC
- c) To submit an application to the IECEE Secretariat through its Member Body using the applicable CB-FCS Operational Document(s).
- d) To conform to the IECEE Peer Assessment Programme based on ISO/IEC Guide 65, as well as the applicable CB-FCS Operational Document(s).
- e) To set adequate internal procedures to enable quick processing of recognition of CAR(s) and CAC(s).
- f) To fully declare its overall key certification procedures and acceptance of TMP, WMT, SMT, and RMT. If recognition of any of these programmes is not permitted by regulatory requirements, this shall be formally declared to the IECEE Secretariat.
- g) To be prepared to recognise components that have already been certified by the Member NCBs (under the future IECEE Component Recognition Program when accepted by the CMC and implemented in practice).

- h) To be prepared to recognise CACs and CARs without additional testing if all of the NCB's National Differences (if any declared) are met.
- i) To be prepared to recognise CACs and CARs without additional Factory Audit if the audit has been carried out by NCB "A" according to the procedures declared by the candidate NCB.
- j) To exercise full control of its associated CBTL(s)
- k) To supervise its associated CBTL(s) when the latter is(are) not integrated with the NCB and mandate a staff member, stationed at the CBTL, to directly supervise CB-FCS activities.
- l) To undergo a supervision program for the first 3 CARs issued per product category/standard to be reviewed by an expert, preferably from the Recognizing NCB, if known. If not known, the IECEE Secretariat will designate the reviewing NCB.
- m) To subscribe to and provide evidence of an adequate liability, indemnification and insurance coverage, the amount of which is set by the CMC.

4.3.7 Application Process for Candidate NCBs

An NCB nominated by a Member Body of the IECEE to participate in CB-FCS shall, via the Member Body of the IECEE, send a written application to the IECEE Secretariat.

The application shall be made in accordance with OD-CB-FCS2013.

In addition, the application shall contain the following:

- a) a written declaration by the candidate NCB that it is ready to provide for recognition of CACs and CARs as a basis for its certification or approval to specified standards. The IEC standard number, the edition, and amendments, if any, shall be specified for each standard. The date from which CACs will be recognized at national level shall also be stated for each standard for which the candidate NCB has applied for acceptance.
- b) a written declaration that the candidate NCB will abide by these Rules of Procedure.

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

National differences, if any, from the specified standards, as well as differences between its certification program and procedures and those of CB-FCS as mentioned in these Rules of Procedure 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.

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 of Procedure shall be submitted.

5 Acceptance of National Certification Bodies and of CB Testing Laboratories

5.1 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 sub-clause.

Applications for acceptance of an NCB and an associated testing laboratory may be submitted together or as one combined application, and relevant on-site assessment may be combined.

5.1.1 An NCB may be given the right by the CMC to issue CACs 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:

5.1.2 The NCB must have operated within the CB Scheme during the last 3 years prior the application being submitted to the IECEE Secretariat.

Prior to the acceptance of the application to seek membership the candidate NCB shall provide evidence that the criteria as per 5.1.3 and 5.1.4 are met.

5.1.3 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 of Procedure for the relevant product standards;

5.1.4 If the CBTL is not integrated with the NCB, the latter shall appoint staff either employed within the NCB organization or by the relevant CBTL to supervise operations under CB-FCS. The appointed staff, stationed at the non-integrated CBTL, shall be directly accountable to the NCB (e.g. by means of a contract), shall be fully aware of the CB-FCS Rules of Procedure, shall monitor/supervise CB-FCS activities and shall provide a written report to the NCB on a regular basis (e.g. twice per year).

5.1.5 An Issuing and Recognizing NCB shall not be, or be influenced by, a body that manufactures or trades in electrotechnical equipment and components”. Furthermore, the NCB shall be impartial and not offer assistance or other services that may compromise the objectivity of its certification activities and decisions;

5.1.6 The NCB’s general competence, efficiency, experience, and familiarity with the relevant standards, National Differences to those standards as well as compliance with ISO/IEC Guide 65 and any relevant Operational Document that applies as well as these Rules of Procedure, shall be demonstrated by on-site assessment under the IECEE Peer Assessment Program.

Accreditation, if any, shall be taken into account when a reputable accreditation body provides an accreditation service in the country of the NCB’s domicile.

NOTE A reputable Accreditation Body is an AB well know in the market e.g. ILAC Member accreditation bodies. In case of doubt, the IECEE Secretary will consult the AAG to determine the level of suitability of the Accreditation Body, if different from being for e.g. an ILAC Member accreditation body.

5.1.7 An application for the acceptance of an NCB to issue CACs and CARs 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 4.5.2.

Representatives of the candidate NCB may be invited to a meeting for discussion of its application, and to respond to inquiries.

5.1.8 The candidate Issuing and Recognizing NCB shall be assessed by three experts to be appointed by the Secretary of the IECEE. The Lead Assessors and the expert assessors shall normally be recruited from Issuing and Recognizing NCBs that are members of the CB-FCS.

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.

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 arising from the assessment (See OD-CB2026). 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 (OD-CB2004) that shall be discussed with the management of the candidate NCB.

5.1.9 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 the outcome of the assessment.

5.1.10 The "Open Part" of the Assessment Report is posted on the dedicated restricted area of the IECEE Web Site for review and comment by the IECEE Members. Any comments on the Assessment Report shall be submitted to the IECEE Secretariat within one month of the date of posting of the assessment report on the Web Site.

* NOTE: The "Open Part" of the Assessment Report is composed of the Assessment Report, Annexes 1, 2 and 3 and the Non-Conformance Sheets. (OD-CB2004)

5.1.11 If the outcome of the Members' review is positive, or neutral, the Secretary of the IECEE will notify the candidate NCB on the outcome. In between the CMC meetings, the IECEE Secretary, on behalf of the CMC, notifies the NCB of the provisional decision. The IECEE Secretary shall submit a final recommendation to the CMC for formal decision at its next regularly scheduled meeting.

5.1.12 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 CACs on products covered by similar Standards have been satisfactorily reviewed by an appointed CB-FCS NCB within a further one year period.
- to submit to a new assessment.

5.1.13 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 submitted to the Secretariat of the IECEE with copy to the relevant Member Body.

If this is the first application for a standard for that country the NCB shall provide the NDs for that standard together with supporting evidence e.g. a statement or a publication by a Member Body, a Regulator authority or a standardization body.

Arrangements on evidence of National Differences shall be made between the NCB(s) and the relevant Member Body at national level prior submitting the application to the IECEE Secretariat.

Upon acceptance of the application, the extension of the scope is processed by the IECEE Secretariat according to the present Rules of Procedure and the relevant Operational Documents. Upon completion of the acceptance process the applicant NCB is granted with a provisional acceptance whilst awaiting the endorsement by the CMC.

5.1.14 An NCB wishing to discontinue recognizing CACs 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 CACs to those standards. It is the duty of the IECEE Secretary to inform all other Member Bodies of the decision.

5.1.15 An NCB wishing to withdraw from CB-FCS 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.

5.1.16 Should, in the opinion of the CMC, an NCB hamper the aim, operation or development of CB- FCS, fail to take action regarding misuse of CACs or violate these Rules of Procedure, the CMC has the right to exclude or to suspend that NCB from CB-FCS.

A decision to exclude or suspend an NCB from CB-FCS shall be taken in accordance with the provisions of Sub-clause 5.6 of Publication IECEE 01.

5.1.17 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 these Rules of Procedure or if it violates these Rules of Procedure. 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.

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

5.2 Acceptance of CB Testing Laboratories

Acceptance of a testing laboratory to participate in CB-FCS as a CBTL is subject to the procedures stipulated in 5.2.1 to 5.2.14 and to the following conditions:

The candidate CBTL shall demonstrate that it has operated successfully within the CB Scheme and handled at least 10 testing cases for each product category/standard in the two years prior to the application being submitted.

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-FCS. 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;

If the candidate is not integrated with the NCB, see Sub-clause 5.1.4.

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 has not been accepted for 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).

NOTE To operate in the CB Scheme, CBTLs may be located in any country/region/place provided that they are under the responsibility of an accepted NCB.

5.2.1 A CBTL shall not be, or be influenced by, a body which manufactures or trades in electrical or 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;

The general competence, efficiency, experience, familiarity with the relevant standards, National Differences to those standards as well as compliance with ISO/IEC 17025 and any relevant Operational Documents that apply as well as these Rules of Procedure shall be demonstrated by on-site assessment(s) under the IECEE Peer Assessment Program.

5.2.2 The competence of the testing laboratory to carry out testing according to specific National Differences shall be documented and at the discretion of the IECEE Secretary demonstrated by an on-site assessment according to the present Rules of Procedure and any relevant Operational Document that applies.

Accreditation, if any, shall be taken into account when a reputable accreditation body provides an accreditation service in the country of the CBTL's domicile.

NOTE A reputable Accreditation Body is an AB well known in the market e.g. ILAC Member accreditation bodies. In case of doubt, the IECEE Secretary will consult the AAG to determine the level of suitability of the Accreditation Body, if different from being for e.g. an ILAC Member accreditation body.

5.2.3 An application for the acceptance of a CBTL to participate in CB-FCS for testing specified individual products according to one or more standards accepted for use in the IECEE and which are in the scope of the responsible 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 IECEE Secretariat and shall be accompanied by a declaration as detailed in OD-CB2013.

5.2.4 The candidate CBTL shall be assessed by one or more experts, at the discretion of the IECEE Secretary to take into account the scope of the application and the size of the candidate CBTL, and appointed by the IECEE Secretary. .

The assessment team shall normally be recruited from Issuing and Recognizing NCBs and CBTLs who are preferably members of the CB-FCS and who are competent in the specific standards and National Differences

The candidate CBTL 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 candidate CBTL to be assessed shall express its willingness to pay the travelling and living expenses and other applicable fees arising from the assessment. An estimate of these expenses shall be provided to the candidate CBTL in advance by the assessors and agreed to by the candidate CBTL (Reference OD-CB2026).

A designated representative of the responsible NCB(s) shall always be present during the assessments.

NOTE 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.

During the assessment visit, the assessors shall prepare a draft report (Reference OD-CB2005) that shall be discussed with the management of the candidate CBTL.

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

5.2.6 The "Open Part*" of the Assessment Report is posted on the dedicated restricted area of the IECEE Web Site for review and comment the IECEE Members. Any comments on the Assessment Report shall be submitted to the IECEE Secretariat within one month of the date of posting of the Assessment Report on the Web Site.

* NOTE The "Open Part" of the Assessment Report is composed of the Assessment Report, Annexes 1, 2 and 3 and the Non-Conformance sheets (OD-CB2005).

5.2.7 If the outcome of the Members' review is positive, or neutral, the Secretary of the IECEE will notify the candidate CBTL and the responsible NCB on the outcome. In between the CMC meetings, the IECEE Secretary, on behalf of the CMC, notifies the candidate CBTL and the responsible NCB of the provisional decision. The IECEE Secretary shall submit a final recommendation to the CMC for formal decision at its next regularly scheduled meeting.

5.2.8 If the outcome of the Members' review is negative, or neutral, the Secretary of the IECEE may, depending on the findings, suggest to the candidate CBTL 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 CARs on products covered by similar Standards have been satisfactorily reviewed by an appointed CB-FCS CBTL within a further one year period.
- to submit to a new assessment.

5.2.9 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 Secretariat of the IECEE via the responsible NCB.

5.2.10 CB-FCS CBTLs shall 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 responsible NCBs. The use of the CTL Decisions is compulsory for the CBTLs.

5.2.11 An CBTL wishing to discontinue preparing CARs for certain standards shall, via the responsible NCB and 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 CARs to those standards. It is the duty of the IECEE Secretary to inform all other Member Bodies of the decision.

5.2.12 An CBTL wishing to withdraw from CB-FCS shall via the responsible NCB and the Member Body of the IECEE 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.

5.2.13 Should, in the opinion of the CMC, a CBTL hamper the aim, operation or development of CB-FCS or violate these Rules of Procedure, the CMC has the right to exclude or to suspend that CBTL from CB-FCS.

A decision to exclude or suspend a CBTL from CB-FCS shall be taken in accordance with the provisions of Sub-clause 5.6 of Publication IECEE 01.

5.2.14 The acceptance of a CBTL may be suspended or withdrawn by the CMC on recommendation of the Secretary of the IECEE if that CBTL no longer fulfils the conditions of these Rules of Procedure or if it violates these Rules of Procedure. Before such a recommendation is made, the CBTL and its responsible NCB shall be given the opportunity to take corrective action over a period of six months and state their own opinions on the matter.

In case of a suspension, the CBTL in question shall not be allowed to claim relations with the IECEE Schemes.

6. Continued acceptance of NCBs and their associated CBTLs

Continued acceptance of NCBs and their associated CBTLs according to these Rules of Procedure is verified through re-assessments that are coordinated by the IECEE Secretariat to be carried out in conjunction with the CB Scheme re-assessments.

7 Procedures for Handling Conformity Assessment Certificates

7.1 General

7.1.1 An application for obtaining a CAC may be made by an applicant to any Issuing and Recognizing NCB accepted to operate within CB-FCS for the relevant product category and standard.

The applicant will be the holder of the CAC.

7.1.2 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.

7.1.3 The application may cover one or more factories located in one or more countries, where the product is manufactured.

7.1.4 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 CAC issued, the amount to be decided by the CMC (see OD-CB2026). The surcharge is to be collected by the NCB handling the application, and remitted to the IECEE account.

7.1.5 The relevant tests shall be carried out by a laboratory accepted within the CB FCS.

7.1.6 Specific rules for utilization by an NCB of a Manufacturer's Testing Laboratory (MTL) are given in OD-CB2027.

7.2 Procedure for obtaining a Conformity Assessment Certificate

The application to the NCB (NCB A) shall contain as a minimum the following information:

- a) name and address of the applicant;
- b) name and address of the manufacturer, if different from the applicant;
- c) name(s) and address(es) of the factory(ies) where the product will be manufactured;
- d) name, trade marks or other markings by which the applicant, the manufacturer, when appropriate, and the factory can be unambiguously identified by an NCB;
- e) product identification, type designation and markings by which the product can be unambiguously identified by an NCB;
- f) copy of a valid CAR, if previously issued;
- g) any special request, such as a particular testing laboratory or use of a manufacturer's test facilities;
- h) NCB(s) to which the Conformity Assessment Certificate is intended to be transferred, if known.
- i) evidence of current registration/certification to ISO 9001:2000 or else evidence of an operating quality management system in place for the specific product concerned. This evidence applies to each factory as declared under c).

The application shall be made and dealt with according to the rules of the NCB A to which the application is submitted.

After fulfillment of all application conditions necessary for a Conformity Assessment Certificate, the relevant NCB (NCB A) shall generally within one month arrange for the elements of conformity assessment (testing, factory inspection) of the relevant product to be carried out. If the result of the conformity assessment is favorable, the NCB concerned shall issue a Conformity Assessment Certificate and Conformity Assessment Report.

When the application covers more than one factory, the address of each factory shall be stated in both the Conformity Assessment Certificate and Conformity Assessment Report and the NCB shall take steps to ensure that the products from all the factories are identical, which shall be confirmed by an appropriate declaration in the Conformity Assessment Report.

The application, the results of the work done and the information obtained in connection with the application for a Conformity Assessment Certificate and Conformity Assessment Report 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 NCB.

Disagreements between the NCB and the applicant may be dealt with according to the appeals procedure of the NCB. If the applicant is not satisfied with the result of the appeal at a national level, and if the disagreement concerns the application of these Rules of Procedure, the dispute may be referred to the Board of Appeal of the IECEE by reporting to the IECEE Secretary with stated causes.

7.3 Procedure for obtaining national certification or approval

7.3.1 When an applicant applies to a NCB B for national certification or approval of a product on the basis of a Conformity Assessment Certificate, the application shall be accompanied by the following documentation:

- a) copy of a valid Conformity Assessment Certificate;
- b) copy of the associated and valid Conformity Assessment Report;
- c) statement on the on-going conformity of the product

7.3.2 The NCB B shall review the documentation provided by the applicant to the extent considered necessary for the identification of the relevant product/equipment for the purpose of granting its national certification mark/approval.

7.3.3 If the result of the review is favourable, CB-FCS NCB's are required to issue their National Certification Marks based on a CAC and associated CAR issued by a CB-FCS NCB A without requesting a sample(s) of the product, except as indicated below, provided that:

- NCB A has covered NCB B's national differences (if any) and this is clearly shown in the relevant Conformity Assessment Report (CAR) and Conformity Assessment Certificate (CAC).
- NCB A provides NCB B, together with the relevant Conformity Assessment Report (CAR), documented evidence for product identification in accordance with the CTL Decision i.e. a CD containing the photographs of the certified product(s).
- NCB A provides NCB B (directly or through the Applicant) a Declaration of Identity confirming that the product(s) for which the NCB B's Certification Mark is requested is(are) identical to the product(s) initially tested and evaluated by NCB A.

When well-founded reasons exist for doubting the identity of the product, the validity of test results or information provided, NCB B may request and evaluate a sample of the product. In such a case, Body B shall consult with Body A and inform the IECEE Secretary accordingly.

If no agreement can be found to overcome the reason(s) for the inquiry, under the Secretariat's arbitration (among the involved parties), NCB B might be given the clearance to request a sample.

7.3.4 The NCB B is generally expected to handle applications for recognition of CACs within 15 working days.

8 Initial Factory Audits and Follow up Audits

the location(s) at which the product is produced or assembled is subjected to an Initial Factory Audit and subsequent regularly scheduled follow-up Audits as specified in the relevant CB-FCS Operational Documents.

8.1 The purpose of the initial audit is to determine, through an on-site Factory Audit, that both the quality management system and the production process are implemented and maintained to meet the requirements of the CB FCS at the factory(ies) where the product is manufactured.

The Initial Factory Audit- carried out by NCB "A"- and subsequent follow up Audits are based on assessments of an operating quality system being in place for the specific product concerned or alternatively according to the NCB "Bs" procedures.

NOTE It is permitted to waive the requirements and procedures related to the quality management system if the Factory where the product is manufactured is currently registered to ISO 9001:2000 with a reputable accredited certification body/registrar

8.2 Acceptance of Factory Audit and Follow up Audit by NCB B

NCB B's shall accept initial Factory Inspections and Follow up Audits carried out by NCB A when required by the NCB B provided that NCB A has already performed such inspections in accordance with Body' B's procedures and forms, or according to the relevant Operational Documents, which ever is appropriate according to NCB B's requirements.

NOTE When NCB A chooses to carry out Initial Factory Inspections and Follow up Audits in accordance with Body's B procedures and forms, NCB A must have undergone a training session lead by NCB B. For the purpose of the Training, NCB B will organize one session in coordination with the IECEE Secretary and all CB-FCS members will have to attend.