

IECEE PUBLICATION

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

Rules of Procedure – CB Scheme

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



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Equipment and Components (IECEE System)**

Rules of Procedure – CB Scheme

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Electrotechnical Equipment and Components (CB Scheme)**

INTERNATIONAL
ELECTROTECHNICAL
COMMISSION

PRICE CODE

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INTERNATIONAL ELECTROTECHNICAL COMMISSION

**IEC System of Conformity Assessment Schemes for Electrotechnical
Equipment and Components (IECEE) –****Rules of Procedure –****CB Scheme****FOREWORD**

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

This sixteenth edition of IECEE 02 cancels and replaces the fifteenth~~th~~-edition published in 2015. Part II of the fifteenth edition (Scheme of the IECEE for Mutual Recognition of Conformity Assessment Certificates for Electrotechnical Equipment and Components (CB FCS Scheme)) was removed and transferred to IECEE 03.

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

The annexe to this publication is normative.

The text of this publication is based on the following document.

Document	Report on voting
IECEE-CMC/1753A/RM	CMC Decision

Full information on the approval of this publication can be found in the Minutes of the CMC meeting held in Oslo on June 01/02, 2016.

Document Owner

CMC WG 10 “Maintenance of the IECEE Rules and Operational Documents”

History of changes

Date	Brief summary of changes
2016-06-01	The following sub-clauses were modified: 3.2.4, 3.3.4, 4.1.5 Part II was transferred to IECEE 03, Edition 6.0

Effective date	Target revision date
2016-06-01	2019-06-01

INTRODUCTION

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

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

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

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

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

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

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

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

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

Rules of Procedure –

CB Scheme

1 Scope

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

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

2 Normative references

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

IECEE Definitions

IECEE 01: Fifteenth edition 2015-10, *IEC System of Conformity Assessment Schemes for Electrotechnical Equipment and Components (IECEE)*

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

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

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

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

ISO/IEC 17065: 2012, *Conformity assessment - Requirements for bodies certifying products, processes and services*.

ISO/IEC 17067: 2013, *Conformity assessment – Fundamentals of product certification and guidelines for product certification schemes*.

3 Rules

3.1 General

3.1.1 The *IEC System of Conformity Assessment Schemes for Electrotechnical Equipment and Components (IECEE)* operates a scheme with the aim of facilitating international trade by promoting and simplifying certification and approval at national level through mutual recognition of test results. CB Test Certificates according to 3.2.1 are used as the means for mutual recognition of test results.

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

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

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



3.2 CB Test Certificates

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

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

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

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

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

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

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

3.2.4 Amending CB Test Certificates and Test Reports due to typographical errors, addresses and other similar changes, as well as, due to technical modifications to products declared in valid CB Test Certificates and CB Test Report is allowed in accordance with OD-2037 and OD 2020.

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

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

- the holder of the Certificate requests cancellation.

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

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

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

3.3 Participation in the CB Scheme

3.3.1 Any Member Body of the IECEE shall have the right to nominate a candidate NCB under the conditions stated in 3.3.2. The membership is subject to acceptance by the CMC.

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

An NCB shall not be, or be influenced by, a body which manufactures or trades in electrotechnical equipment and components.

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

3.3.2 An NCB shall be accepted by the CMC either as a Recognizing NCB or as an Issuing and Recognizing NCB according to the Particular Rules of Procedure IECEE 02-2.

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

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

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

The application shall contain the following:

- a) information on legal status, address etc of the candidate NCB;
- b) a written declaration by the candidate NCB that it is ready to provide for recognition of CB Test Certificates as a basis for national certification or approval to specified standards as required by 3.3.3. The number, the edition, and amendments, if any, shall be specified for each standard. The date from which CB Test Certificates will be recognized at national level shall also be stated for each standard.
- c) a declaration by the candidate NCB that is willing to abide by these Rules.

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

National differences, if any, from the specified standards, as well as other requirements (see 3.3.3), shall also be indicated in the application for later publication in the CB Bulletin.

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

For missing TRFs that address National Differences, the IECEE Secretariat shall request the relevant MBs to develop and provide the required TRFs

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

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

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

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

3.3.6 Each Member Body of the IECEE shall inform the Secretary of the IECEE about changes in the information given according to 3.3.4 and about the information according to 3.3.5.

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

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

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

A decision to exclude or suspend an NCB shall be taken in accordance with the provisions of 5.7 of Publication IECEE 01.

3.4 The CB Bulletin

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

3.4.2 The CB Bulletin shall contain information about

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

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

3.5 Complaints

If there are complaints concerning the behaviours of an NCB or CBTL, the case shall be reported to the Secretary of the IECEE with due documentation of evidence. After review and acceptance of the complaint, the Secretary of the IECEE will submit the case to the Board of Appeal in accordance with the procedure as per sub-clause 4.2 of IECEE 02-1.

4 Procedures for handling CB Test Certificates

4.1 General

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

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

4.1.2 The applicant may be a manufacturer or act on behalf of a manufacturer. In the latter case, evidence shall be submitted that the applicant is authorized to act on behalf of the manufacturer for the application and that the manufacturer undertakes the same obligations as the applicant.

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

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

4.1.4 An applicant in a country with no Member Body of the IECEE and an applicant acting on behalf of a manufacturer in such a country shall pay a contribution to the costs of the IECEE in the form of surcharge for each CB Test Certificate issued, the amount to be decided by the CMC. The surcharge is to be collected by the NCB handling the application, and remitted to the IECEE account.

4.1.5 Unless otherwise agreed between the applicant and the NCB, the tests shall be carried out by an accepted CBTL on the request of the NCB. Specific rules for utilization by an NCB of a customer's testing facilities are given in OD-2048.

4.2 Procedure for obtaining a CB Test Certificate

4.2.1 The application to the Issuing and Recognizing NCB shall contain as a minimum the following information:

- name and address of the applicant;
- name and address of the manufacturer, if different from the applicant;
- names and addresses of the factories where the product will be manufactured;
- name, trademarks or other markings by which the applicant, the manufacturer, when appropriate, and the factory can be unambiguously identified by an NCB;
- type designation and markings by which the product can be unambiguously identified by an NCB.

4.2.2 The application shall be made and dealt with according to the rules of the Issuing and Recognizing NCB to which it is submitted. That NCB shall inform the applicant about the relevant rules and procedures and about the specimens needed for the testing.

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

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

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

4.2.5 When the application for obtaining a CB Test Certificate includes more than one factory location, the Applicant shall include a declaration from the Manufacturer stating that the sample(s) submitted for evaluation is (are) representative of the products from each factory.

A statement shall be included in the CB Test Report confirming Manufacturer's declaration or where differences exist; they shall be identified in the CB Test Report.

Note The statement may be the Manufacturer's declaration

The name and address of each factory shall be reported in the CB Test Report (where applicable for the relevant TRF) and on the CB Test Certificate.

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

4.2.7 Disagreements between an Issuing and Recognizing NCB and an applicant may be dealt with according to the appeal procedure of the NCB.

If the applicant is not satisfied with the result of the appeal at national level, and if the disagreement concerns the application of these Rules, the dispute may be referred to the Board of Appeal of the IECEE.

4.3 Procedure for recognition of CB Test Certificates

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

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

4.3.3 The NCB shall examine the submitted CB Test Certificate (regardless of the location of the issuing NCB, even if that NCB is located in the same country as the recognizing NCB) and any required specimen to the extent considered necessary for the identification of the relevant equipment and for the recognition of the CB Test Certificate.

If the result of this examination is favourable, national certification or approval shall be granted by the NCB without additional testing following its own statutes and rules of procedure. However, if the test report does not cover declared national differences, if any, arrangements shall be made with the Applicant to carry out the additional evaluation and testing.

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

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

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

4.3.6 Should the NCB receiving a CB Test Certificate for recognition consider it to have been issued in error, the NCB that issued the certificate shall be informed as soon as possible. If the NCBs involved arrive at different conclusions, the case may be referred to the Board of Appeal of the IECEE.

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

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