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Rules of Procedure of the Scheme of the IECEE for Mutual Recognition of Conformity Assessment Certificates according to Standards 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