



INTERNATIONAL ELECTROTECHNICAL COMMISSION

CONFORMITY ASSESSMENT BOARD (CAB) Meeting **37**, Geneva, 2015-06-05

SUBJECT Agenda item 6.2

International Telecommunications Union ITU-T Conformance and Interoperability update

BACKGROUND

In line with the original CAB Decision at the Oslo 2012 Meeting:

Decision 32/21—ITU-T conformity assessment and interoperability testing project

The CAB thanks ITU TSB, and in particular Mr P. Rosa, for information on the ITU-T conformity assessment and interoperability testing project. The CAB encourages discussions to understand the needs of ITU and to determine if there are possible areas of cooperation with the IEC or the IEC CA Systems. It will be happy to examine any concrete proposals

And further CAB Decisions:

Decision 33/29 (Geneva 2013 meeting) — ITU: Initiative on conformity assessment and interoperability

The CAB notes the status of this initiative, thanks the close and persistent follow-up of this matter by Mr Pierre de Ruvo and encourages further discussion

Decision 34/28 (October 2013 New Delhi) — ITU Initiative on conformity assessment and interoperability

The CAB thanks ITU, and in particular Mr Langtry, for information on the ITU conformity assessment and interoperability testing project. The CAB encourages continued discussions to understand the needs of ITU and to determine the areas of cooperation with IEC or the IEC CA Systems. The CAB also kindly requests to the ITU that the results of the Study Group 11 meeting, to be held in November 2013, be communicated to the CAB as soon as possible after the meeting

Decision 35/6 (June 2014 Geneva) — ITU: Initiative on conformity assessment and interoperability

The CAB notes the status of this initiative as reported in CAB/1264/R, thanks the follow-up effort of this matter by Mr Chris Agius and supports further strategic discussion by him with an intermediate report between the meetings and a report to CAB at the November 2014 meeting

Decision 36/29 (November 2014 Tokyo) — ITU conformity and interoperability CA

The CAB thanks Chris Agius for the report, CAB/1326/R, which it endorses and, in view of decisions from the ITU meeting, held in the week prior to this CAB meeting, and the apparent speed at which ITU wish to move forward, decides to establish an ad hoc group, with Chris Agius as the convener, to provide a platform to create a firm proposal for ITU/IEC collaboration programme in compliance with CAB policy (including CAB Decisions 25/9 and 25/10) for consideration by CAB.

There has been on-going dialog between IEC Central Office led by Chris Agius and ITU previously by Malcolm Johnson.

CAB members will also note previous reports from the IECEE Chairman Ron Collis along with presentations and addresses from ITU informing that a Conformity Assessment and Interoperability Programme was requested by ITU Members from developing countries and that such a Programme provided 4 pillars

- Conformity Assessment
- Interoperability
- Capacity Building
- Establishment of Test Centres

The purpose of the dialog between IEC and ITU is to explore possible areas for cooperation noting that IEC and ITU already cooperate in other specific areas including “Standardisation in the field of Electronic Business”

This report, prepared by Chris Agius provides an update of further discussions since the November 2014 CAB Tokyo meeting including an adHoc meeting of various CAB Members during the February 2015 Lake Forest meeting of the CAB Task Force and is provided for the information of CAB Members and for consideration of the direction being taken.

ACTION

The CAB is requested to note and endorse this report and future direction concerning IEC/ITU collaboration at the June 2015 Geneva Meeting along with the preliminary draft Basic Rules for IEC Stand-Alone Schemes, included in Attachment A. Members are requested to specifically note the proposed model for cooperation outlined in item 4 of this report.

1 Background information

CAB Members will note report CAB/1264/R presented during the June 2014 CAB meeting and CAB/1326/R presented during the November 2014 Tokyo meeting.

In summary, CAB/1264/R recalled previous advice that ITU-T Study Group SG 11 met 25 Feb – 1 March 2013 for its first meeting regarding Conformance and Interoperability (C&I) activities including the approval of its C&I action plan based on the ITU C&I action plan approved by Council. The ITU-T SG11 also created a Working Party “Conformance and interoperability testing” and defined the terms of reference of the Joint Coordination Activity on C&I Testing.

During the its meeting on 26 February 2013 a special session was allocated to enable the then IECEE Secretary and IECEE Chairman to give a presentation informing the IECEE System and operated Schemes. The ensuing discussion showed that ITU could benefit from the IEC Conformity Assessment Services, noting the long standing experience and credibility gained by IEC from operating Global Conformity Assessment Systems.

IEC was provided a further opportunity to present at the ITU UNIDO Forum on Sustainable Conformity Assessment for Asia-Pacific Region, Yangon, Myanmar, 25th – 27th November 2013, where Mark Amos, from the IECEx Secretariat gave an overall presentation on IEC Standards and Conformity Assessment.

The Myanmar conference was attended by experts from

- | | | | |
|------------|--------------|------------|----------|
| - Myanmar | - Pakistan | - India | - China |
| - Nepal | - Indonesia | - Bhutan | - Brunei |
| - Mongolia | - Malaysia | - Laos | |
| - Vietnam | - Bangladesh | - Maldives | |

In presenting the proposed ITU C&I Programme, the ITU representative expressed concerns regarding

- a. the difficulty in developing a database and website to support this certification / conformity assessment programme,
- b. that not all players of the telecommunication industry support third party certification (noting that the C+I Programme considers four routes to certification (of which three are third party and the fourth is supplier declaration),
- c. challenges of security, reliability and credibility of the database and website, and
- d. uncertainties on how labelling and marking could be incorporated as an important element of the programme.

At the close of the Myanmar event special mention was made of the value of IEC’s input based on their experience with operating CA Systems and that ITU should build a stronger relationship with IEC in this area.

Success of IEC Participation at these 2 events have been the basis for on-going discussions between ITU and IEC. Chris Agius reported at the June 2014 CAB meeting and again at the November 2014 meeting that on-going discussions have led to a growing awareness of IEC CA activities and interest in collaboration with IEC.

2 Outline of the ITU Work on Conformance and Interoperability

CAB members are referred to CAB document CAB/1206/Inf, presented at the CAB New Delhi 2013 meeting for the detailed background.

In summary, the ITU Plenipotentiary Resolution 177(Guadalajara, 2010), the ITU Conformance and Interoperability (C&I) programme is to be based on four pillars:

1. Conformity assessment
2. Interoperability events
3. Capacity building
4. Establishment of test centres and C&I programmes in developing countries.

Within the ITU secretariat, Actions 1 and 2 are led by the Telecommunication Standardization Bureau (ITU-TSB), actions 3 and 4 by the Telecommunication Development Bureau (ITU-BDT).

Separate to the IEC / ITU discussions, ITU Q11/11 Group have been developing Draft Recommendation for an ITU-T "*Testing Laboratories recognition procedure*". This draft is proceeding with the initial approach utilising Testing Laboratories operating within either the IEC Schemes or covered by accreditation from an ILAC MLA partner.

3 Considerations for IEC

There are a number of considerations for IEC including :

- i) A major drive supporting this ITU initiative is coming from Developing countries seeking some form of coordinated Conformity Assessment Scheme to provide assurance of compliance with ITU published Recommendations
- ii) Many of the manufacturers in the ITU space also participate in the IEC CA Systems, mainly thru the IECEE-CB Scheme with many of them operating IECEE-CB Scheme approved 'Client Test Facilities'
- iii) While the main scope of ITU Publications focus on performance and Interoperability, in various areas electrical safety requirements are addressed thru direct reference to IEC 60950, one of the most used Standards of the IECEE-CB Scheme.
- iv) The desire by ITU to utilise a single website platform as a database for identifying verification of conformity
- v) For the sake of efficiency and cost effectiveness for industry a single CA solution capturing both Safety and performance would be desirable compared to separate CA systems and Schemes by different Organisations, operating with duplication of scope.
- vi) the existing specifications, termed ITU Recommendations deal with products covered by IEC Standards. It is also considered that a Conformity Assessment Programme operated in the area covered by ITU will likely lead to an increase in additional specifications (Recommendations) being developed, further enhancing the need for a 'Standardised Approach' to Conformity Assessment.

In consideration of these issues and in light of the commitments to industry as reflected in Masterplan 2011, in terms of both Making IEC the home of industry and Global collaboration, an IEC/ITU Collaboration is being pursued.

CAB Members will recall that the following 3 options for cooperation were canvassed during the November 2014 CAB meeting :

Option 1 : Integration within one of the established CA Systems, eg IECEE

Option 2 : Establishment of a new and 5th IEC CA System

Option 3 : Operation of a Program within the IEC CA Framework under CAB, making use of the CA Tools that exist among the established IEC CA Systems and their Schemes

These options were considered as part of document CAB/1326/R during the Tokyo 2014 CAB Meeting where CAB assigned work to an AdHoc Group to report at the next CAB Meeting.

These issues were considered via adHoc meeting of various CAB Members during the February 2015 Lake Forest meeting of the CAB Task Force and with others following the Lake Forest meeting.

4 Proposed Model for Cooperation between IEC and ITU in the Area of Conformity Assessment

4.1 Outline

We note from the IEC Statutes,

[*article 12* extract]

The Council, through the Council Board, delegates to the Conformity Assessment Board the overall management of the conformity assessment activities of the Commission.

The Conformity assessment Board shall take any action it considers necessary to promote and facilitate the operation of the Commission's conformity assessment activities (see Appendix 2 to the Rules of Procedure).

We further note that the IEC Statutes [*article 13*] require that the Conformity Assessment work of the Commission is carried out by Conformity Assessment Systems or Stand-alone Schemes.

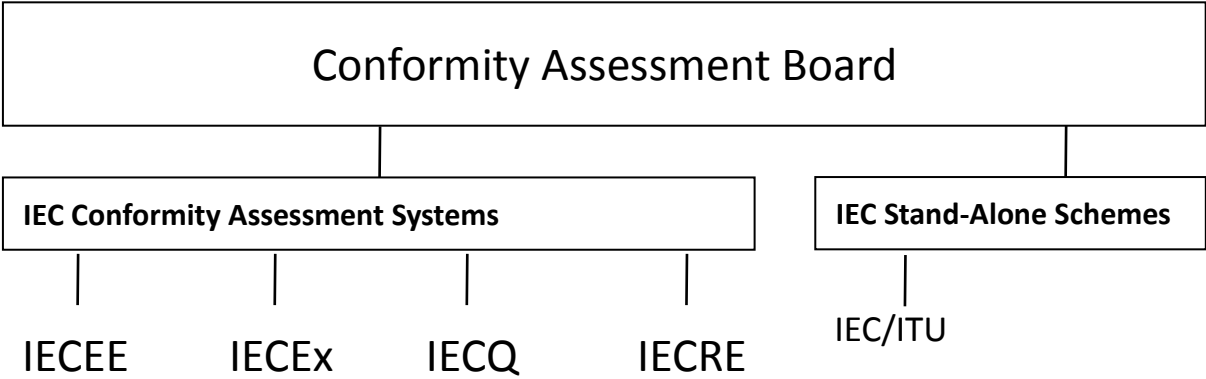
IEC's experience and success in operating Conformity Assessment Systems, over many years is well known, however the idea of partnering with other International organisations to operate conformity assessment activities outside the established IEC CA Systems, is a relatively new concept for IEC and the CAB, although the IEC Masterplan and Statutes promote the "IEC – Home of Industry" approach [A1] along with "Global Collaboration" [C1].

Therefore in order to ensure minimum impact to the day to day operation of IEC's existing Conformity Assessment Systems, e.g. IECEE, IECQ, IECEX or IECRE it is felt that a "pilot approach" for a Stan-Alone scheme be undertaken as part of a Joint Venture with ITU, making use of the various "IEC CA tools" we have within the existing IEC CA Systems.

As with all IEC CA activities its operation and status are to be reviewed by CAB in accordance with its role under the IEC Statutes.

4.2 Structure

In noting the current Organisational Structure where the current IEC CA Systems report directly to CAB via their respective Management Committees the use of a Stan-Alone Scheme, as prescribed by the IEC Statutes, to accommodate the cooperation between IEC and ITU would be expect to look like the following:-



4.3 Governance of IEC/ITU cooperation as a Stand-Alone Scheme (IEC/ITU Scheme)

In noting that the current IEC CA Systems operate according to Basic Rules and the current work within CAB to Harmonise these Basic Rules, it would be prudent to establish a set of Basic Rules for which a Stand-Alone Scheme such as the IEC/ITU Cooperation would operate as well.

With this in mind the AdHoc WG has prepared a preliminary Draft Basic Rules for Stand-Alone Schemes and is presented in **Attachment A** to this report.

The preliminary Draft Basic Rules for Stand-Alone Schemes provides the following key elements:

Element	Body / Forum	Notes
Approval of Scheme – including scheme documents and finances	CAB	According to IEC Statutes
Stakeholder involvement	Scheme Advisory Committee	Balanced stakeholder interests including partners, e.g. ITU
Daily Operations	Scheme Secretariat – provided by IEC Central Office	Under direction by IEC General Secretary & CEO and Reporting to the CAB

4.4 Interaction with existing IEC CA Systems

It is envisaged that the IEC/ITU Scheme would interact with existing IEC CA Systems and their Schemes in a number of ways such as:

- a) Provision of a Certification Scheme based on the IECEE CB Scheme
- b) Use of IECEE CB Scheme approved CTLs and NCBs and process for new TLs
- c) Use of IECEE CB Scheme Operational Documents as applicable, e.g. OD 2048 "Testing at Other Locations"
- d) Use of Internet based tools, e.g. on-line certificate system used by IECQ and IECEx as appropriate

4.5 Conclusion

In surveying the current CA structure and existing IEC CA tools at our disposal, it is felt that the following would be required to commence the IEC/ITU Scheme:

- a) Basic Rules for Stand-Alone Schemes (*see Attachment A preliminary Draft*)
- b) Rules of Procedure for the IEC/ITU Scheme (*adaptation of IECEE 02*)
- c) Identification of existing tools within current IEC CA Systems and Schemes

CAB are therefore requested to discuss this approach at the June 2015 meeting with a view to provide guidance in going forward.

Chris Agius
AdHoc Convener
June 2015

ATTACHMENT A
Preliminary Draft Basic Rules for IEC Stand-Alone Schemes

INTERNATIONAL ELECTROTECHNICAL COMMISSION

Title: Draft IEC Basic Rules for all IEC Stand-Alone Schemes

INTRODUCTION

The IEC Conformity Assessment Board has reviewed the Basic Rules of all 3 active Conformity Assessment Systems, namely documents IECEE 01, IECEX 01, IECQ 01 and has determined that there is a great deal of commonality among them, sufficient to warrant the introduction of one single IEC 01 Basic Rules document for adoption by all IEC Conformity Assessment System, both current and any future Conformity Assessment System.

Work is advancing on creating a single document to serve as the Basic Rules for all IEC Conformity Assessment Systems.

Similarly and noting the provisions of Article 13 of the IEC Statutes for IEC to operate Stand-Alone Schemes, IEC would benefit from a single document to serve as the Harmonised Basic Rules for all IEC Stand-Alone Schemes.

Current consideration of cooperation with other international organisations, such as ITU have given rise to the need to address the issue of Stand-Alone Schemes sooner rather than later.

This document, was prepared by the Convener of the CAB AdHoc WG on Collaboration with ITU, to serve as a preliminary draft that can be developed further.

This draft is hereby submitted for initial views and commentary by CAB Members during the June 2015 Geneva meeting.

INTERNATIONAL ELECTROTECHNICAL COMMISSION

IEC Conformity Assessment –

Basic Rules for Stand-Alone Schemes

FOREWORD

This publication has been prepared by the

The text of this publication is based on the following documents:

Document	Report on Voting

IEC Conformity Assessment –

Basic Rules for Stand-Alone Schemes

1 Title

These Basic Rules apply to all Stand-Alone Conformity Assessment Schemes operating within the IEC.

Current IEC Conformity Assessment Stand-Alone Schemes (IEC SA Schemes) are identified in Annex A.

2 Object

Taking into account the object of the International Electrotechnical Commission (IEC) as given in Article 2 of the IEC Statutes, the particular object of an IEC SA Scheme, operated under the authority of the IEC in conformity with the Statutes (Article 13), is to facilitate international trade in products and services by providing a global framework for independent assessment and certification of equipment, services, personnel and other related activities.

3 Scope

Each IEC SA Scheme shall have a clearly defined scope of operation as approved by the IEC Conformity Assessment Board (CAB).

The scopes of the current IEC SA Schemes are detailed in the respective in Annex A.

4 Governing documents

The documents which state the Rules of the SA Schemes and which govern the organization of its work are as follows:

- a) the Statutes of the IEC;
- b) the Rules of Procedures of the IEC;
- c) the ISO/IEC Directives;
- d) the Basic Rules which define the principles of the SA Schemes and which are approved by the CAB [This document] and any SA Scheme Supplements as approved by the CAB; and
- e) the Rules of Procedure which define the working procedures of the SA Scheme. IEC SA Schemes operate under the management and control of CAB with the Rules of Procedure being prepared and approved by the CAB to ensure that the Rules of Procedure of the CA Systems and schemes are consistent with the IEC conformity assessment policy and with the IEC Statutes and Rules of Procedure.

These Basic Rules apply all IEC SA Schemes operating within the IEC and may be supplemented with additional Rules to cater for any unique aspect of an IEC SA Scheme, as approved by CAB.

In case of a conflict, contradiction or inconsistency between the provisions of one of the above mentioned documents and provisions of another of the above mentioned documents, the provisions of the document listed in a higher position shall take precedence over the provisions of the document listed in a lower position.

5 Participation

5.1 Conformity Assessment Bodies, as defined in the Rules of Procedures for each of the IEC SA Schemes, from countries in which there is a Full or Associate Member National Committee of the IEC, as defined in Article 4 of the Statutes of the IEC, may apply to participate in the IEC SA Scheme according to the rules of procedure.

Conformity Assessment Bodies from non-IEC countries may apply subject to the concurrence of the IEC Executive Committee (ExCo) regarding general IEC policy and satisfaction of the specific requirements for IEC membership, as set out in Annex C.

5.2 Application from a Conformity Assessment Body to participate in one or more IEC SA Scheme shall be submitted to the CAB Secretary. The candidate body shall undertake to abide by the Basic Rules and Rules of Procedure of the IEC SA Scheme. Applications for participation in IEC SA Schemes from Conformity Assessment Bodies located in non-IEC member countries will be handled in accordance with the procedure set out in Annex C.

5.3 There is no limit to the number of Conformity Assessment Bodies that may apply from a single country with each Conformity Assessment Body agreeing to the Basic Rules and Rules of Procedure of the IEC SA Scheme.

5.4 A Conformity Assessment Body wishing to withdraw from participation of an IEC SA Scheme shall give at least one calendar year's notice. This Conformity Assessment Body shall pay any annual dues for the calendar year following the year during which the notice was given, unless notice of withdrawal is received up to and including 30 June, in which case the Body shall only be required to pay the current year's dues.

5.5 A Conformity Assessment Body may be suspended for non-payment of dues or fees, or for violation of any rules or violation of the spirit and intent of the IEC SA Scheme's object and goals. Any proposal to suspend membership of an IEC SA Scheme, or to cancel such suspension, shall require agreement by a majority of at least two-thirds of the total number of votes received from the CA System Member Bodies, with abstentions and non-votes not being counted, except in the case of suspension for non-payment of dues, or any other fees as decided by the CAB, in which case the CAB Chairman may direct IEC Central Office to take the administrative action of suspension.

If the suspension of the membership has not been cancelled during the year after which the decision was taken, the body concerned ceases to be a member of the IEC SA Scheme.

Suspended Bodies shall not be permitted to retain membership of the IEC SA Scheme or be admitted to participate in any other IEC SA Scheme.

6 Organization

6.1 The organization of a specific IEC SA Scheme shall comprise:

- a) a Management Body (the CAB);
- b) an Advisory Committee;
- c) other Groups established by the CAB; and
- d) a Secretariat (the IEC Central Office).

6.2 The overall responsibility for the operation of the IEC SA Scheme is vested in the CAB. The CAB delegates the day to day management operational responsibility related to the IEC SA Scheme to the IEC Central Office under the direction and supervision of the IEC General Secretary. The IEC Central Office shall report on activities of the IEC SA Schemes at each meeting of the CAB and other times as requested by the CAB Chairman. The CAB supervises the operation of IEC SA Schemes and has the authority to disband an IEC SA Scheme (IEC Statutes, Article 13). This authority shall not be exercised without prior consultation between the CAB, The IEC General Secretary and the Advisory Committee.

7 Management Body

7.1 The CAB shall act as the Management Body for all IEC SA Schemes, with membership of the CAB governed by the IEC Statutes.

7.2 The CAB as Management Body for IEC SA Schemes shall decide on:

- a) questions related to participation of the IEC SA Scheme;
- b) dues and other sources of income associated with participation and operation of the IEC SA Scheme
- c) budget and financial accounts of the IEC SA Scheme, as prepared by the Secretariat;
- d) surcharges and the conditions under which they may be levied;
- e) the Rules of Procedure for the operation of the specific IEC SA Scheme,
- f) other questions regarding the Rules of Procedure mentioned in e) above;
- g) acceptance of Conformity Assessment Bodies of the IEC CA System;
- h) acceptance, rejection and suspension of Conformity Assessment Bodies, e.g. CBs and TLs;
- i) rules governing appointment of assessors for the inclusion in the list of approved IEC SA Scheme Peer Assessors.
- j) assessors' fees; and
- k) the layout and content of Certificates and Reports used within the IEC CA System.

7.3 Under direction from the CAB, the IEC Central Office shall have the following duties:

- a) to manage the day to day operations of the IEC SA Scheme in accordance with the Basic Rules and Rules of Procedure of the IEC SA Scheme;
- b) to monitor the continuing compliance of IEC SA Scheme's Conformity Assessment Bodies with the Rules of the CA System;
- c) to monitor any reported misuse of the IEC logos, marks and certificates that may give rise to an adverse impact on the IEC brand or name and to report it to the CAB annually;
- d) to monitor acceptance of the IEC SA Scheme in participating countries;
- e) to promote the IEC SA Scheme;
- f) to submit an annual report on its activities to the CAB; and
- g) to carry out any other tasks relevant to the object of the IEC SA Scheme, given to it by the CAB.

7.4 The CAB may establish Working Groups with clearly defined terms of reference, to advise it on matters related to the operation of the IEC CA System or to enhance the efficiency of its operation.

NOTE Working Groups may be established for the purpose of dealing with matters relating to, for example:

- creation of procedures for manufactures/customers testing programs;
- development of a specific new program (approved by CAB) and assigned by the MC;
- the layout and content of assessment report forms for the assessment of CBs and TLs;
- the evaluation of assessment and reassessment reports for CBs and TLs, including recommendations for acceptance, rejection or suspension; and
- the layout and content of Certificates, and the layout of Test Reports.

7.5 The Secretariat duties of any Working Groups associated with the IEC SA Scheme shall be under the responsibility of the IEC Central Office.

8 IEC Stand-Alone Scheme Advisory Committee (IEC SA Scheme Advisory Committee)

8.1 The IEC SA Scheme Advisory Committee provides a forum for Conformity Assessment Bodies operating in the IEC SA Scheme, manufacturers, end users, regulators and other Stakeholders to meet and discuss matters relating to the operation and use of the IEC SA Scheme.

8.2 Membership of an IEC SA Scheme Advisory Committee shall be proposed by the IEC SA Scheme Secretary and approved by the CAB. Membership shall comprise adequate representation from the various stakeholders and shall ensure a balance of interest is maintained. Conformity Assessment Bodies operating in an IEC SA Scheme shall be members of the IEC SA Scheme Advisory Committee.

8.3 The Chairman of the IEC SA Scheme Advisory Committee shall be nominated by the Secretary and appointed by CAB.

8.4 The Secretary of the IEC SA Scheme Advisory Committee shall be appointed by the IEC General Secretary in consultation with the CAB Chairman.

8.5 The duties of the IEC SA Scheme Advisory Committee are to provide a consultative forum to the Secretary and CAB on matters relating to:

- a) the development, maintenance, and implementation of the Rules and Operational Procedures of the IEC SA Scheme;
- b) ensuring a common approach to the application of IEC SA Scheme Rules and Operational Documents; and
- c) promotion of the IEC SA Scheme.

8.6 The IEC SA Scheme Secretary shall report to the CAB on a regular basis, concerning the operation of the IEC SA Scheme, including recommendations of the IEC SA Scheme Advisory Committee.

8.7 The IEC SA Scheme Advisory Committee should normally meet on an annual basis or as directed by CAB.

Observers may attend meetings of the IEC SA Scheme Advisory Committee with permission of the IEC SA Scheme Advisory Committee Chairman. The observers shall have no right to vote, and their right to speak shall be determined by the IEC SA Scheme Advisory Committee Chairman.

The CAB Chairman and IEC General Secretary & CEO or his representative may attend all meetings within the IEC SA Scheme Advisory Committee, *ex officio*, without vote.

8.8 Decisions of the IEC SA Scheme Advisory Committee shall be arrived at by consensus. Where voting is required the Chairman shall determine the method of voting following consultation with the IEC SA Scheme Advisory Committee.

Where consensus cannot be achieved, the matter shall be referred to the CAB for a decision.

8.9 As soon as possible after a meeting, the Secretary of the IEC SA Scheme Advisory Committee shall prepare and distribute a report for consideration by the CAB, covering:

- a) the results of the meeting;
- b) proposals to be submitted for discussion.

8.10 Reports of meetings of the IEC SA Scheme Advisory Committee shall be circulated to all members of IEC SA Scheme Advisory Committee and CAB. They shall embody all conclusions of the relevant meeting, together with a brief account of the discussions.

8.11 The term of office of the Chairman of the IEC SA Scheme Advisory Committee shall be three years and he shall be eligible for re-appointment for one further period of three years. If at the conclusion of a second or subsequent term there are no new candidates nominated for election to the position, the CAB may appoint the IEC SA Scheme Advisory Committee Chairman for a further 3 year term.

8.12 The principal duties of the Chairman are to:

- a) convene meetings of the IEC SA Scheme Advisory Committee;
- b) assist the IEC SA Scheme Advisory Committee Secretary in compiling agendas for the meetings of the IEC SA Scheme Advisory Committee; and
- c) act on behalf of the IEC SA Scheme Advisory Committee between its meetings.

8.13 The Deputy Chairman of the IEC SA Scheme Advisory Committee shall be as appointed by CAB.

8.14 The term of office of the Deputy Chairman of the IEC SA Scheme Advisory Committee shall be three years and he shall be eligible for re-appointment for one further period of three years. If at the conclusion of a second or subsequent term there are no new candidates nominated for election to the position, the CAB may appoint the IEC SA Scheme Advisory Committee Chairman for a further 3 year term.

8.15 The role of the Deputy Chairman of the IEC SA Scheme Advisory Committee is to support the Chairman of the IEC SA Scheme Advisory Committee and he shall act as Chairman of the IEC SA Scheme when the Chairman is unavailable

9 Officers and administration

9.1 The Officers of the IEC SA Scheme are:

- a) the CAB Chairman;
- b) the IEC SA Scheme Advisory Committee Chairman;
- c) the IEC SA Scheme Advisory Committee Vice Chairman; and
- d) the IEC SA Scheme Advisory Committee Secretary.

9.2 The Secretariat is provided by the Central Office and operates under the direction of the IEC General Secretary & CEO as set by CAB.

9.3 The routine work of the Secretary of the IEC SA Scheme Advisory Committee is to:

- a) provide general administrative and secretarial services for the IEC SA Scheme;
- b) handle and be responsible for the daily financial matters of the Secretariat and the IEC SA Scheme;
- c) circulate to CAB the accounts of the IEC CA System;
- d) accept or reject applications from candidate Conformity Assessment Bodies in accordance with the Rules of Procedures of the IEC SA Scheme as approved by the CAB;
- e) organize and manage initial assessment and reassessment of Conformity Assessment Bodies, including the appointment of assessors, as applicable;
- f) handle requests for scope extension applications for Conformity Assessment Bodies, eg CBs, TLs;
- g) keep up to date records regarding the Conformity Assessment Bodies, eg CBs, TLs;
- h) periodically circulate questionnaires requesting information about acceptance of the IEC CA Systems and about national differences;
- i) be responsible for editing and arranging the publication of the IEC SA Scheme publications;
- j) be responsible for maintaining a list of assessors approved by the CAB and for managing the assessment activities; and
- k) provide administrative support to Committees and other Groups established by the CAB, as necessary.

9.4 The Chairman and the Vice-Chairman, of the IEC SA Scheme Advisory Committee shall take office on the first day of January of the year after the meeting of the CAB at which they have been appointed unless otherwise determined by the CAB.

9.5 Nomination of the Chairman and the Vice-Chairman of the IEC SA Scheme Advisory Committee shall be made by the IEC SA Scheme Advisory Committee for approval by the CAB.

9.6 Officers of the IEC SA Scheme provide an advisory function to the IEC SA Scheme Advisory Committee and to CAB and is empowered to take actions between IEC SA Scheme Advisory Committee meetings, as delegated to them by the IEC SA Scheme Advisory Committee and CAB. They shall, in addition, carry out any other task(s) assigned to them by the CAB.

Any decision on matters delegated to the Officers shall be reported to the IEC SA Scheme Advisory Committee and CAB and recorded in the minutes.

10 Committees and Other Groups

10.1 Formation of Committees reporting to CAB

The IEC SA Scheme Advisory Committee may propose for CAB approval the establishment of a Committee or other groups within the IEC SA Scheme. In doing so the IEC SA Scheme Advisory Committee shall inform CAB of the following:

- a) The reason for this proposal
- b) The role and proposed authorities of the Committee or Group
- c) The membership and constitution of the Proposed Committee or Group
- d) Any other information that may assist the CAB in reaching a decision

The Chairman and any Vice Chairman or Secretary of such Committees or Groups shall be appointed by the CAB upon nomination by the IEC SA Scheme Advisory Committee.

The term of office of the Chairman and Vice Chairman of such other Committees or Groups shall be three years and he/she shall be eligible for re-appointment for one further period of three years. If at the conclusion of a second or subsequent term there are no new candidates nominated for election to the position, the CAB may appoint the Chairman or Vice Chairman for a further three year term.

10.2 Formation of Other Groups Reporting to the IEC SA Scheme Advisory Committee

The IEC SA Scheme Advisory Committee may set up or disband Groups for specific and defined tasks, other than Committees as provided for by 10.1, taking into account the needs of the IEC SA Scheme, e.g. establishment of Working Groups and Stakeholder Panels. When establishing such Groups or forums, the IEC SA Scheme Advisory Committee shall inform the CAB, whom has the authority to direct the IEC SA Scheme Advisory Committee to alter or disband such arrangements.

11 Legal provisions

11.1 International level

An IEC SA Scheme is an inseparable part of the IEC. There is only one legal entity, being the IEC.

11.2 An IEC SA Scheme do not engage in trade, is non-profit making and does not take part in any other economic pursuit on its own behalf. It has no marketing function or price-regulating function. It expands its means only on achieving the object of Clause 2.

The decisions of the CAB and IEC SA Scheme Advisory Committee are made voluntarily on the basis of the prescribed voting procedures.

11.3 The seat of the IEC CA Scheme shall be the same as that of the IEC.

The laws of the country in which the IEC has its seat shall apply in any or all cases not specifically provided for in these Basic Rules.

11.4 National level

For the national organizations, the laws of the relevant countries shall apply.

Nothing found in these Basic Rules or in the Rules of Procedure of the IEC SA Scheme shall violate, or cause any acts which violate, the laws of a country in which the IEC SA Scheme operates. It is the responsibility of the National Committee of IEC in each country either participating or using the IEC SA Schemes, in the establishment of the national rules implementing the CA System, to provide the necessary legal protection against the violation of any law.

11.5 Legal protection

The granting of certification of conformity shall not transfer to the CAB, IEC SA Scheme Advisory Committee or to the IEC any of the legal responsibilities incumbent, under the national or international law, on the manufacturer or on the supplier of the product or service so certified.

11.6 Exclusion of liability

The national organizations acting on behalf of the CAB and IEC SA Scheme Advisory Committee shall do so on their own responsibility and shall take all possible steps to exclude any liability from falling on the CAB, IEC SA Scheme Advisory Committee or on the IEC.

11.7 Exoneration

In the case that through the IEC SA Scheme the IEC is held legally responsible, under national or international law, for any action taken by a national organization acting on behalf of the IEC SA Scheme, then the national organization involved shall undertake to exonerate fully the IEC from such liabilities.

12 Standards

12.1 The IEC SA Schemes are generally based on the use of International Standards, namely those published by IEC and ISO. Use of Publications or Specifications within an IEC SA Scheme other than an IEC or ISO Standard may be possible under the following circumstances:

- Such Publications or Specifications are not in conflict with the relevant IEC nor ISO Standard covering this topic
- Approval of CAB has been obtained.

A list of normative documents approved for use in the IEC SA Scheme shall be included in the Rules of Procedures of the IEC SA Scheme.

12.2 If the IEC SA Scheme wishes to include Specifications within its scope of activities, it shall provide to CAB the relevant rationale and the proposed steps to quickly bring resolution to the IEC SA Scheme's needs. These proposed steps may include, for example, a request of the relevant IEC technical committee or subcommittee to prepare as quickly as possible the required standard. If there is no committee dealing with the subject, the IEC SA Scheme Advisory Committee may also propose that the CAB request the Standardization Management Board (SMB) of the IEC to initiate the preparation of the required standard.

12.3 While the official language of documents used within an IEC SA Scheme is English, Rules of Procedures and other CA System documentation may be translated under the following guidelines:

- Translations may be arranged by the IEC Central Office or an IEC National Committee;

- The IEC National Committee providing the translation, should confirm the accuracy of any translations; and
- Translated documents shall at all times be published as IEC publications and subjected to the copyright provisions of the IEC.
- In case of divergence of meaning the English version always takes priority.

13 Finance

13.1 IEC SA Schemes shall be self-financing and not present a financial burden to the IEC, acknowledging the need for a financial contribution from the IEC during the initial start up.

13.2 The financial year of the CA System shall be the calendar year.

13.3 The IEC SA Schemes shall derive its income by means determined by the CAB and identified in the annual budget as approved by CAB.

13.4 Each year, not later than the end of March, the IEC Central Office shall send to the CAB the accounts of the IEC SA Schemes for the preceding year, duly ratified by a professional auditor as part of the overall externally auditing of IEC accounts, for its approval.

13.5 The draft annual budget prepared by the IEC Central Office, for the following year, will be forwarded to CAB Member Bodies for approval in sufficient time to ensure approval by correspondence not later than the deadline prescribed from time to time by the CAB.

Any dues shall be paid in the first six months of each calendar year.

13.6 Any Conformity Assessment Body whose dues for a given calendar year have not been paid by 30 June of that year may have its membership suspended (See 5.5).

During such a suspension, the Conformity Assessment Body has no right to participate in meetings of the IEC SA Scheme Advisory Committee or to receive documents or publications of the CA System, or to exercise its vote or to participate in the IEC SA Scheme.

13.7 Suspension of membership for a non-payment of dues shall be immediately cancelled when the Body has fully paid its past and current dues.

13.8 The IEC SA Schemes finances will be integrated on an annual basis in the IEC's financial reporting.

14 Dissolution of an IEC Stand-Alone Scheme

Any proposal for dissolution of an IEC SA Scheme may be made from within the CAB, the IEC General Secretary or the IEC SA Scheme Advisory Committee. The CAB shall take the final decision and shall determine the disposal of remaining property and funds after the settlement of all liabilities.

15 Appeals

Appeals concerning all IEC SA Schemes that cannot be resolved by the Conformity Assessment Bodies operating in the IEC SA Scheme shall be escalated to the Board of Appeal of the CAB. Annex B sets out procedures of the Board of Appeal at the CAB level.

Annex A (normative)

Scope of IEC Stand-Alone Schemes (IEC SA Schemes)

A.1 The IEC SA Schemes operating within the IEC at time of publication of this edition of the Basic Rules are detailed in this Annex.

A.2 IEC/ITU Interoperability Scheme

A.2.1 The title of the IEC/ITU Interoperability Scheme is “IEC/ITU Interoperability Scheme”, hereinafter referred to as “the IEC/ITU Scheme”.

A.2.2 The IEC/ITU Scheme is applicable to such standards, categories and services as approved by the IEC Conformity Assessment Board (CAB). A list of the approved categories is included and maintained in the IEC/ITU Scheme Rules of Procedures.

The IEC/ITU Scheme operates as an ISO/IEC System 1b Scheme, according to ISO/IEC 17067, utilising the Test and Certification procedures of the IECEE – CB Scheme. IECEE appointed NCBs and CBTLs, with the relevant IECEE CB Scheme product category in their scope, are accepted to conduct testing and assessment and issue the IEC/ITU Certificates in accordance with the IEC/ITU Scheme.

Annex B (Normative)

Procedure for the Board of Appeal

- B.1 The Board of Appeal shall be appointed on a case by case basis and consist of a Chairman and four experts. They shall be appointed by the CAB Chairman in consultation with the IEC General Secretary & CEO and on the nomination by the relevant IEC SA Scheme Advisory Committee Chairman and Secretary. The Board of Appeal shall be disbanded following completion of the case for which they were appointed.
- B.2 Upon direction of the CAB Chairman, the Secretary of the relevant IEC SA Scheme Advisory Committee shall generally act as the Secretary of the Board of Appeal and shall have no right to vote.
- B.3 For considering a case submitted to the Board of Appeal, the Chairman and all four members shall be present. A case may be dealt with by correspondence, with the agreement of the parties involved.
- B.4 Neither the Chairman of the Board of Appeal nor the four members shall serve in a case in which an Appellant of their country is involved.
- B.5 The parties interested shall have the right to be heard by the Board of Appeal.
- B.6 Decisions of the Board of Appeal about its recommended solution shall be taken by a simple majority of the four members. If the votes are equally divided, the Chairman of the Board of Appeal shall decide upon the action to be taken.
- B.7 An Appellant, who can be a Certification Body (CB), a Testing Laboratory (TL) or a Member Body of the relevant IEC CA System, shall have the right to submit an appeal to the Board of Appeal through the Executive Secretary of the relevant CA System.
- B.8 When an Appellant wishes to appeal against a decision taken by a CB about a matter with which this Appellant is concerned, the Appellant shall first appeal according to the appeal procedure of the CB concerned, when that procedure is applicable.
- B.9 If the Appellant is not satisfied with the outcome of the appeal at national level and the Appellant thinks that the decision is against the Rules or if the national appeal procedure is not applicable, the Appellant may submit an appeal in writing to the Secretary of the applicable IEC SA Scheme Advisory Committee within one month after having been informed of the decision at the national level, setting out all reasons for the appeal and its willingness to cover costs of the appeal. The Secretary of the IEC SA Scheme Advisory Committee shall prepare an estimate of these costs.
- B.10 Prior to lodging an appeal all attempts shall first be made to resolve the appealed issue at the level of the Conformity Assessment Body before formally establishing a Board of Appeal according to Clause B.1.
- B.11 The Board of Appeal may meet at any time provided the complainant expresses willingness to pay the travelling and living expenses for the Chairman, the four members and the Secretary of the Board of Appeal for this meeting. These expenses shall be notified in advance to the complainant and shall have been paid to the account of the IEC before the meeting can take place.
- B.12 When the Board of Appeal meets to consider a case, the following applicable information shall be available:
- the appeal;
 - the text of all correspondence between the parties; and
 - any additional documentation to support the appeal, as necessary.

Normally, these documents shall be circulated at least four weeks before a meeting to the four members of the Board of Appeal. Copies of all documents shall also be sent to the parties.

- B.13 When the parties have agreed that the matter may be dealt with by correspondence, Clause B.12 also applies. The Appellant shall have expressed its willingness to pay the costs, if any.
- B.14 The Chairman of the Board of Appeal may then propose a recommended solution for consideration by the members of the Board of Appeal. It is the duty of the Secretary of the IEC SA Scheme Advisory Committee to assist the members and the parties.
- B.15 When the recommended solution is reached by correspondence, notes or minutes relevant to the decision shall be recorded.
- B.16 The Board of Appeal shall deal with the case confidentially.
- B.17 The parties involved each have the right to call an expert to advise on matters relevant to the case.
- B.18 During the adjudication of the case, only the Chairman, the four members and the Secretary of the Board of Appeal shall be present.
- B.19 The Board of Appeal shall give its recommended solution in writing, within one month after the meeting, to the parties, and, if action with regard to standards is needed, to the IEC General Secretary & CEO.
- B.20 The recommended solution of the Board of Appeal shall be presented to the CAB at its next meeting for endorsement whose decision is final.

Annex C (normative)

Conditions for bodies and organizations domiciled in non-IEC member countries to participate in an IEC Stand-Alone Scheme

0 Foreword

Bodies and organizations domiciled in non-IEC member countries making application for acceptance into an IEC SA Scheme shall fully satisfy all the conditions specified below.

1 Conditions to be satisfied

1.1 Use of IEC International Standards to grant “national marks”

Within the country test and assessment work carried out under an IEC SA Scheme will be recognized as the basis for national certification or approval by any existing or future national certification body(ies) proposed for participation in the IEC SA Scheme or will be accepted directly by the country's product approval authorities.

1.2 Well-established body recognized at national level by the authorities and the market

Applicant member bodies from non-IEC member countries must demonstrate the existence of (a) body(ies) operating a national certification or approval scheme recognized by the authorities and the market. If no such body(ies) exist, applicants must provide details of regulatory or other arrangements providing for direct acceptance of conformity assessment results.

1.3 IEC membership

Applicants should commit to apply for at least associate membership of the IEC within an agreed time period after admission to an IEC SA Scheme. The agreed time should be proposed by the Applicant itself and approved by the IEC General Secretary & CEO. If not already an Affiliate the applicant must participate in the IEC Affiliate Country Programme and receive Affiliate Conformity Assessment Status of the programme until such time as the applicant becomes a member of the IEC.

Bodies in Countries suspended from the IEC may not be admitted to the IEC SA Scheme for a period of three (3) years following their suspension.

1.4 ExCo decision on acceptability

The IEC General Secretary & CEO shall be informed of all applications (or possible applications) from non-IEC member countries, in order that the IEC ExCo may take a decision in principle as to their acceptability in terms of general IEC policy and any specific requirements with respect to IEC membership, after receiving the IEC General Secretary's view on this. A timetable for applying for at least associate membership of the IEC shall be agreed with the IEC General Secretary & CEO. The ExCo decision shall be conveyed to the CAB. The ExCo through the CO (including the secretariats of CAB, SMB, and Affiliate Country Programme) will monitor the progress of the non-IEC member country on its timeline for becoming a member of the IEC.

1.5 Compliance with IEC SA Scheme membership requirements

Applicants and associated certification bodies and testing laboratories must undertake to comply with all relevant IEC SA Scheme rules and requirements, including payment of annual dues and sharing of costs as defined in the IEC SA Scheme rules.

2 Participation rights

The applicant member body and associated certification bodies and testing laboratories have the same rights of participation in the activities of the IEC SA Scheme as are exercised by those IEC SA Scheme members, who are also members of the IEC, except that representatives of non-IEC member countries are not eligible for election to any Officer position, and not eligible to appeal decisions concerning their membership.

3 Application procedure

3.1 Conformity Assessment Body

An application for a Conformity Assessment Body shall be made according to the Basic Rules and Rules of Procedure of the IEC SA Scheme and must include an undertaking to full commitment by its proposed certification body(ies), or relevant regulatory authorities, to recognize test and assessment work carried out by any member of the CA System for the purpose of granting the "National Mark" or other means of national recognition (ref. Clause 1.1 of this Annex).

The applicant organization shall provide the following information:

- a) reasons for the application for membership;
- b) the timetable for joining the IEC SA Scheme;
- c) a description of the structure or proposed structure in the country related to member body, certification body(ies) and testing laboratory(ies) as well as the responsibility for standards;
- d) existence of mandatory and/or voluntary certification schemes;
- e) existence of national differences from IEC International Standards and of conflicting national standards or regulatory requirements, if any (where applicable); and
- f) plans for participation in IEC standardization work.

3.2 Processing of applications

The complete member body application, fulfilling all of the requirements specified herein and the relevant requirements of the IEC SA Scheme Basic Rules and Rules of Procedure, shall be submitted to the IEC SA Scheme Secretary for evaluation and processing according to the Basic Rules, the Rules of Procedure and any relevant Operational Documents.

Prior to finalizing an application the IEC SA Scheme Secretary shall ensure that advice has been obtained from the IEC General Secretary & CEO on the ExCo's decision with respect to acceptability in terms of general IEC policy and any specific requirements with respect to IEC membership (refer to 1.3 and 1.4).

The final decision of the CAB will be notified to the applicant body.
