



For IEC use only

CAB/1507/R

2016-04-18

## INTERNATIONAL ELECTROTECHNICAL COMMISSION

CONFORMITY ASSESSMENT BOARD (CAB)

Meeting **39**, Geneva, 2016-06-13

### SUBJECT

Agenda item 6.4

Report of CAB WG 11 - Systems Issues.

### TERMS OF REFERENCE (Approved by CAB via correspondence 11 January 2016 (CAB/1477A/RV))

WG 11 has the responsibility to undertake the following activities and make related recommendations for CAB approval on an ongoing basis:

- Develop the modifications to the Harmonized Basic Rules (HBR) necessary to ensure consistency among the Systems and with the IEC Statutes and Rules of Procedure and IEC CAB Policy.
- Review IEC CA Systems Supplements to the HBR.
- Identify opportunities for harmonization of documents and programs at the System level.
- Oversee the development of Harmonized Rules of Procedure and principles for standalone schemes.
- Considers issues associated with System membership of suspended IEC NCs.
- To consider the use by the IEC Systems of non-ISO and non-IEC documents.

### BACKGROUND (Brief background and overview of meetings and activities since last reporting)

WG 11 met 6 October 2015 in Frankfurt, Germany, 9-10 December 2016 in Tokyo, Japan and 24-25 February 2016 in Northbrook, IL, USA during the year to consider multiple items as assigned by CAB. The primary focus of the WG since the last report was the completion of the Harmonized Basic Rules (HBR) of the IEC CA Systems. The WG reviewed all comments by the CA Systems, members of CAB and members of the WG and distributed a document that compiled all comments received as well as resolution of those comments.

The result of the meetings was a final version of the HBR for CAB approval by correspondence. The HBR was approved by CAB via correspondence on 12 April 2016. An informational copy of the HBR was distributed to the CA Systems for their use in development of their Supplements.

This report includes an executive summary of activities to date and plans moving forward.

Part A – Recommendations submitted to the CAB for formal approval

Part B – Other items of interest

Part C – Review of Previous CAB Decisions Related to (WG or Other)

Appendix A – (Supporting Materials for Topic from Report)

**EXECUTIVE SUMMARY** (Succinct summary of key items addressed in this report)

WG 11's work was primarily focused on completing the Harmonized Basic Rules for the IEC CA Systems. The HBR were finalized and approved by CAB on 12 April 2016. In addition to the work on the HBR, CAG WG 11 worked on some additional areas including timeline for implementation, other areas for harmonization, prioritization of its activities, development of the concept of Voting and Non-Voting Membership and coordination of the common elements of the CA Systems.

WG 11 has recommendations related to the following:

- Coordination of Subject Matter Experts (SME) from the CAB and CA Systems
- Change to the WG 11 Terms of Reference
- Proposed HBR implementation timeline
- Consistency in the layout and format of the CA Systems Supplements
- Reference to MC subcommittees in CA Systems Supplements with details in 02 level documents
- Solicitation of comments from the CA Systems for the next version of the HBR related to Voting/Non-Voting and Document distribution timelines
- Prioritization of next work areas for WG 11
- Call for Subject Matter Experts from CAB and the Systems for possible work in the area of Personnel Competencies.

The next meeting of CAB WG 11 is scheduled for 14 June 2016 in Geneva.

## Part A: Recommendations for approval

(Description of background related to recommendation)

The CAB STF on Governance has proposed the concept of the scheme rules toolbox. The STF indicated that the toolbox concept needs to be further developed, but recognizes that further clarification is needed related to how this will be managed, who will manage it and how divergence issues will be addressed. WG 11 further discussed the issue and felt that expertise from the CA Systems was needed to assist in the alignment and possible harmonization of any new areas for the tool/toolbox approach. As such, WG 11 suggests that it be the coordinating body for these Subject Matter Experts (SME) for the specific areas identified. This is in line with CAB Decision 34/10 and Decision 37/9 (See Part C)

**A Recommendation A.1.** – WG 11 asks CAB for approval to act as the coordinator of the Subject Matter Experts from the Systems in an effort to harmonize or align aspects. CAB WG 11 recommends that it will act as the reviewing and monitoring body for this tool/toolbox approach.

\*\*\*\*\*

WG 11 reviewed recommendations from the Council Board, previous CAB decisions and input from WG members regarding the need for review of the CA Systems Rules of Procedure. WG 11 noted the inclusion of the CA System Chairs and Secretaries in its membership and suggests that the expertise for review of CA Systems Rules exists within WG 11. In addition, WG 11 notes the desire expressed in CB/129e for unification of essential rules and processes and suggests that CAB entrust WG 11 with these tasks. WG 11 therefore seeks to modify its Terms of Reference as indicated:

### Terms of Reference:

WG 11 has the responsibility to undertake the following activities and make related recommendations for CAB approval on an ongoing basis:

- Develop the modifications to the Harmonized Basic Rules (HBR) necessary to ensure consistency among the CA Systems and with the IEC Statutes and Rules of Procedure and IEC CAB Policy.
- Review IEC CA Systems Supplements to the HBR.
- Act as the reviewing body for the CA System Rules of Procedure to evaluate their compliance with IEC Statutes and Rules of Procedure, CAB Policy and the identification of possible areas for harmonization or alignment.
- Identify opportunities for harmonization of documents and programs at the System level and across the CA Systems.
- Oversee the development of Harmonized Rules of Procedure and principles for standalone schemes.
- Considers issues associated with CA System membership of suspended IEC NCs.
- To consider the use by the IEC Systems of non-ISO and non-IEC documents.

**A Recommendation A.2.** – Based on approval of Recommendation A.1., WG 11 asks CAB for approval for revised Terms of Reference with changes as indicated in red.

\*\*\*\*\*

CAB Document CAB/1476/DC describing the proposed timeline for HBR implementation (discussed at the Minsk CAB meeting) was circulated to CAB members for review and comment. Positive comments were received by Sweden, Germany, Australia and France. No negative or additional comments were received.

### **Timeline from CAB/1476/DC**

- March 2016 target for a CAB vote by correspondence on the final proposed HBR
- Approved HBR available for CA Systems' management meetings (first IECQ in April 2016)
- CA Systems would work on their respective supplements during 2016
- Implementation of the HBR with supplements would begin 1st January 2017
- 2017 would be a transition year from the current Basic Rules to the HBR with supplements
- Final supplement versions would be approved by CAB at the 2017 General Meeting
- 1st January 2018 the HBR with supplements would be fully implemented.

**A Recommendation A.3.** – WG 11 notes the positive comments received from CAB members to the timeline proposed in document CAB/1476/DC and recommends formal CAB approval of the proposed implementation timeline.

\*\*\*\*\*

WG 11 discussed the layout and formatting that would be needed for consistency across the CA Systems for the CA System Supplements and recommends the following:

**A Recommendation A.4.** – WG 11 recommends that there be a single HBR document (IEC CA 01) and each CA System will have their own document (IECEE 01-S, IECEx 01-S, etc.) which contains ONLY the Supplementary requirements. The formatting of the Clause Number will use numbering convention used by TC61 (e.g. IEC 60335-2-65).

**A Recommendation A.5.** – WG 11, noting the differences in existence in the management structure of the CA Systems, recommends that references to Committees falling under the MC should be in the Supplement, as to name, function etc., but Operational issues (Structure, e.g.) for the Committee should be covered in 02 Rules of Procedure documents.

\*\*\*\*\*

WG 11 noted the comment from Item 10.1 of CAB/1411/RM. The Convener suggested that WG 11 should propose rules for the voting obligations of Member Bodies with some form of down-grading for non-response (along the lines of the Directives clauses 1.7.2 to 1.7.4) and that these should be included in the HBR (see the embedded document just after Recommendation A.7.)

The WG drafted text using the terms "Voting" and "Non-Voting" to distinguish between the two levels of membership of Member Bodies. The only issue addressed is voting rights. There are no differences in the ability to attend meetings, comment on documents, make proposals, WG membership, dues, etc, between the level of Voting Member Body and Non-Voting Member Body.

The intent is that the proposed draft requirements be sent for consideration/comment from the Systems, and that, if/once approved by CAB, the revisions to the HBR be in a 2nd Edition so as to not delay the publication and implementation of the 1st Edition of the HBR.

**A Recommendation A.6.** – WG 11 requests approval from CAB for WG 11 to directly solicit comments from the Systems related to draft requirements for Voting and Non-Voting Member Body rights and obligations.

\*\*\*\*\*

WG 11 noted and discussed the differences in document distribution timelines within the current CA Systems and noting the recently approved document distribution timeline for CAB documents, recommends the following:

**A Recommendation A.7.** – WG 11, recommends that WG 11 to directly solicit comments from the Systems related to a Draft “circulation of documents timeline” table to be included into the HBR.

\*\*\*\*\*

The document with both Voting/Non-Voting (Recommendation A.6.) and Circulation of Documents Timeline (Recommendation A.7.) were included in a single document with highlights to identify the specific Clauses impacted (blue for Voting/Non-Voting and green for Circulation of Documents Timeline).



Draft\_IEC\_01\_v0-0-1  
\_Approved\_by\_CAB2

\*\*\*\*\*

WG 11 noted the past CAB decisions (**Decision 34/10** — WG 11, Systems Issues – Harmonization The CAB asks WG 11 to investigate its possibilities to assist the Systems to identify opportunities for harmonization of documents at the scheme level.) proposed changes to the Terms of Reference and discussed possible new areas for harmonization and alignment utilizing Tool/Toolbox approach.

#### **Concepts:**

- Identification of opportunities for harmonization of documents and alignment of programs.
- CAB enforcement of IEC Statutes, CAB policy, concepts and rules. Any deviation would require a proposal to change governing documents
- Foster an environment of research and collaboration (prior to embarking on new programs).
  - Collaboration and sharing of new work areas (between existing and new Schemes) to allow for identification and use of existing programs/rules
- Raising the knowledge level of participants in CA practices/principles and IEC culture. Education of Officers of the Systems on the IEC Statutes and Rules of Procedure and IEC CAB Policy as a requirement
- Create value for those creating new programs/services by sharing and using best practices from the Systems

#### **Deliverables (Possible tools for enhancing alignment):**

- High level analysis / document (e.g. blueprint, framework or operating model) that defines top levels priorities and concepts that are required
  - CAB Policy
  - IEC CA 01 with supplement
  - Develop 02 guide document and template with basic requirements and principles (elements including re-assessment, customer testing facilities).
    - Develop a generic document for rules and procedures for equipment scheme, service scheme and personnel competency scheme. Provides a mandatory baseline.
- Need to put in place the structure/mechanism for conducting the analysis and work.
  - Inclusion of experts from the Systems to do the work.
  - Not repeat past missteps.
- Cross reference list of programs including documents – start with the items brainstormed below

- Smart tagging of the documents to facilitate easier searching
- Document storage location – where to get the documents

### Challenges:

- Compensation for experts working across Systems
- Not invented here mentality
- Perception of a top down mandate and that harmonization leads to a loss of control

### Top 3 Prioritized list of brainstormed / identified possible best practice areas:

1. Personnel competencies – noting IECEx has current program, IECEE is potentially looking to create a Scheme related to Machine Safety and Functional Safety (NECA MOU) and IECRE has expressed a longer term desire
2. Peer assessment
3. Testing at Customer Facilities – IECEE OD-2048 and IECEx OD-024
  - a. Identify common elements and differences

### Future potential areas:

- Interpretation of requirements / interaction with standards side (TC/SC)
  - Feedback loop
  - Consistent application of requirements
- Proficiency Testing Program (PTP) principles/operation – noting the cooperation between IECEE and IECEx as a success story
- General Non-Conformity Report (GNCR) and Corrective actions
- Mechanisms for issuing and displaying Certificates of Conformity. Online Certificate Database
- Appeals and complaint mechanism/rules
- Documentation Structure and Hierarchy
  - Guidance on document control, naming, implementation (transition period, phase-out, roll-out)
- Harmonized approach to writing 02 level documents – best principles/base document or structure
- Propagation of knowledge and past policy decisions
  - Database of decisions available

Based on the brainstorming and analysis, WG 11 suggests that the top three priority areas of work should be Personnel competencies, Peer assessment, and Testing at Customer Facilities. WG 11 therefore recommends the following:

**A Recommendation A.8.** – WG 11 requests CAB to review the Concepts, Deliverables, Challenges and Possible future areas and approve the following three areas of work as priorities: Personnel Competencies, Peer assessment, and Testing at Customer Facilities.

**A Recommendation A.9.** – Contingent upon approval of Recommendation 8 and based on the top identified priority (Personnel competencies), WG 11 recommends a call for subject matter experts from the Systems and CAB for work in the area of Certification of Persons to create a standard framework and Scheme document.

\*\*\*\*\*

**Part B: other items of interest** (Items for information only)

The minutes from the last two meetings are included here for reference:

**Minutes from the 9-10 December 2015 meeting in Tokyo, Japan:**

**INTERNATIONAL ELECTROTECHNICAL COMMISSION**

**Conformity Assessment Board WG 11 Systems Issues**

<b>SUBJECT</b>	Minutes
Date of Meeting:	9 and 10 December 2015 09:00 to 17:00
Location:	Tokyo
Venue:	<a href="http://www.jqa.jp/english/index.html">http://www.jqa.jp/english/index.html</a> JQA – Japan Quality Assurance Organization 17 th Floor, JR Kanda Manseibashi Building, 1-25 KandaSudacho, Chiyoda-ku, Tokyo, 101-8555, Japan TEL: +81 3 4560 5450

**Meeting Commenced on both days at 0900**

**1. OPENING AND WELCOME-**

Welcoming address by Convener, call for introductions and review of Membership List

The convener and members in attendance thanked JQA and the Japanese member body for the IECEE (JISC) for the excellent meeting arrangements and for hosting.

**Members/Attendees:**

Chris Agius, IECEX, IECQ	Apologies
Thorsten Arnhold, IECEX Chair	Apologies
Simon Barrowcliff, United Kingdom	Apologies
Didier Bourgès, France	Apologies
Marie-Elisabeth d'Ornano, IECQ Chair	Apologies
Tim Duffy, United States	Present
Joe Gryn, Canada	Present
David Hanlon, IEC CO	Apologies
Steven T. Margis, United States	Apologies
Toshiyuki Kajiya, Japan	Present
Kerry McManama, IECEE, IECRE	Present
Shigeyuki Kondo, Acting Chair IECEE	Present
Mohamad Faudzi Mohd Yasir, Malaysia	Apologies
Albert J. Nagtegaal, Netherlands	Apologies
Fredrik Wennersten, Sweden	Apologies

**Guests:**

Hirromichi Fujisawa – Past CAB Chair and IEC Vice-President Conformity Assessment  
Ms. Ritsu Hamaoka – JSA  
Tomonori Fukuta – JISC  
Kazuhide Horisaka – JISC  
Shingo Chinushi – JQA

## **WG 11 Scope:**

Current proposed scope out for vote by CAB ([Document 1477](#)) by 2015-12-21:

### **Terms of Reference:**

WG 11 has the responsibility to undertake the following activities and make related recommendations for CAB approval on an ongoing basis:

- Develop the modifications to the Harmonized Basic Rules (HBR) necessary to ensure consistency among the Systems and with the IEC Statutes and Rules of Procedure and IEC CAB Policy.
- Review IEC CA Systems Supplements to the HBR.
- Identify opportunities for harmonization of documents and programs at the System level.
- Oversee the development of Harmonized Rules of Procedure and principles for standalone schemes.
- Considers issues associated with System membership of suspended IEC NCs.
- To consider the use by the IEC Systems of non-ISO and non-IEC documents.

### **Documents for noting**

- CAB/1309A/R – Report from CAB WG 11 on Harmonized Basic Rules (HBRs) of the IEC CA Systems, Tokyo CAB Meeting
- CAB/1413A/R – Report on new actions and follow-up status of outstanding CAB matters.
- CAB/1401A/RM – Confirmed report of CAB meeting 37 held in Geneva on 2015-06-15
- Compilation of comments from the Systems
- Draft\_IEC\_01\_v0-0-1\_Approved\_by\_CAB20141110b
- Draft\_IEC\_01\_v0-0-1\_Approved\_by\_CAB20141110b-with edits ver 01b.docx
- Compilation of comments from the Systems with WG 11 comments.docx

The following documents have been uploaded to collaboration tools area of WG 11:

- Draft\_IEC\_01\_v0-0-1\_Approved\_by\_CAB20141110b-with edits ver 02.docx
- Compilation of comments from the Systems with WG 11 comments ver2.docx

## **2. AGENDA - Approved**

### **3. CAB WG 11 Assigned Tasks**

#### **3.1. Harmonized Basic Rules**

##### **3.1.1. Timeline from CAB [Document 1476](#) (currently out for vote with a deadline of 18 December)**

- March 01, 2016 completion target for a CAB vote by correspondence on the final proposed HBR
- Approved HBR available for CA Systems' management meetings (first IECQ in April 2016)
- CA Systems would work on their respective supplements during 2016
- Implementation of the HBR with supplements would begin 1st January 2017
- 2017 would be a transition year from the current Basic Rules to the HBR with supplements
- Final supplement versions would be approved by CAB at the 2017 General Meeting
- 1st January 2018 the HBR with supplements would be fully implemented.



In Minsk, CAB took the following two decisions:

#### **Decision 38/8 — Harmonized Basic Rules**

The CAB thanks the IEC CA Systems for respecting CAB Decision 36/10 to return their feedback on the draft Harmonized Basic Rules (HBR) to CAB by this meeting. The CAB noting the feedback in documents CAB/1388/R, item 5.4, CAB/1429/INF, CAB/1455/INF, CAB/1462/INF and REMC/050/DFA, tasks WG 11 with reviewing these documents and submitting a final recommendation to CAB.

#### **Decision 38/12 — WG 11 CA Systems issues**

The CAB thanked the WG 11 Convener for his verbal report of the meeting held in Frankfurt in the week prior to this CAB meeting, and encouraged this group to move forward quickly to complete both the tasks assigned to it as indicated in the document CAB/1413A/R, and the new task given to it in CAB Decision 38/8 concerning review and recommendations of the feedback on the Harmonized Basic Rules.

- To allow sufficient time for the review of the System supplements by WG 11 such that a formal Recommendation can be made to CAB for approval, the Systems will need to provide their proposed/draft no later than 01 July 2017.

### **3.1.2. Continued Editing of HBR**

#### **Documents:**

- **Draft\_IEC\_01\_v0-0-1\_Approved\_by\_CAB20141110b-with edits ver 01b.docx**
- **Compilation of comments from the Systems with WG 11 comments.docx**

The WG reviewed the above documents and saved changes in the version 2 of the files as noted above.

- Based on the continued review of the Compilation of Comments, the WG addressed the following comment numbers:

3 – Gender neutral  
7 – Introduction  
8 – Introduction  
10 – Introduction  
15 – MC replaced versus Management Committee  
26 – Document distribution timeline – held for future  
41 – Executive Secretary as CEO  
47 – Legal question from section 10  
53 – Election consideration  
63 – P and O membership – drafted proposal see agenda item number 3.4 below  
68 – System level appeals – held for future HBR version consideration

- **Actions for WG 11 Members:**
  - Review the Report/minutes of this meeting,
  - Review the new Version 2 of the Compilation of Comments (CC) – paying attention to those comments noted above. The WG 11 resolutions to the items noted above are identified in Version 2
  - Review the new Version 2 of the HBR especially noting the revisions based on addressing the comments above as well as the new draft introductory paragraphs as requested by Comments # 7 and 8,
- **Action for CAB Secretary:**
  - See Comment 47 dealing with LEGAL provisions for all of clause 10 of the HBR and report back to the WG.

- For Comment 53 - research the election rules for possible inclusion in a future version of the HBR and report back to the WG.

**3.2. Decision 37/13 — Standalone scheme rules. The CAB tasked WG 11 with reviewing the proposed Basic Rules of a Standalone Scheme, given in CAB/1386/R.**

- To be tabled at the next WG 11 meeting

**3.3. Decision 36/10 — WG 11 Systems Issues – Harmonized Basic Rules**

The CAB thanks WG 11 for its document CAB/1309A/R, approves the draft Harmonized Basic Rules (HBR) of the IEC CA Systems as given in Annex 2 with the deletion of clause 7.9 and the modification to clauses 8.11 and 15 given below, and requests that they be circulated to all four IEC CA Systems, IECEE, IECEx, IECQ and IECRE, for their considerations including that on the elements which the CA Systems might desire to include in the HBR as their own Supplements. The CA Systems are requested to report back to CAB in time for discussion and decision at the GM 2015 CAB meeting.

8.11 The Executive Group of the IEC CA System **provides an advisory function and is ~~are~~ empowered to make operational decisions between MC meetings, as delegated to them by the MC ~~or CAB~~**. They shall, in addition, carry out any other task(s) assigned to them by the MC ~~or CAB~~. With the Chairman's agreement, members of the Executive may attend all meetings associated with the IEC CA System.

15 Appeals

Appeals concerning all IEC CA Systems **that can't be resolved at the CA Systems level ~~are handled by~~ 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**.

- It should be noted that WG 11 decided to refer the issue of System level appeals back to the REMC. See CC item 68 for the WG 11 views.

**3.4. 2015/CAB/37/X6**

From Item 10.1 of CAB/1411/RM. The new Convener suggested that WG 11 should propose rules for the voting obligations of Member Bodies with some form of down-grading for non-resp~~onse~~ (along the lines of the Directives clauses 1.7.2 to 1.7.4) and that these should be included in the HBR. See item 63 in the CC

The WG drafted text using the terms "Voting" and "Non-Voting" to distinguish between the two levels of membership of Member Bodies. The only issue addressed is voting rights. There are no differences in the ability to attend meetings, comment on documents, make proposals, WG membership, dues, etc, between the level of Voting Member Body and Non-Voting Member Body.

The Recommendation, below, will be included in the Convener's Report to the 2016 June CAB meeting. The intent is that the proposed draft requirements be sent for consideration/comment from the Systems, and that, if/once approved by CAB, the revisions to the HBR be in a 2<sup>nd</sup> Edition so as to not delay the publication and implementation of the 1<sup>st</sup> Edition of the HBR.

- **Recommendation - Request approval from CAB for WG 11 to directly solicit comments from the Systems related to draft requirements for Voting and Non-Voting Member Body rights and obligations.**
- See Collaboration Tools for WG 11 draft requirements related to Voting and Non-Voting Member Body membership.  
Filename:  
[Draft\\_IEC\\_01\\_v0-0-1\\_Approved\\_by\\_CAB20141110b-with non participating proposal.docx](#)

### 3.5. Reference to IEC Statutes

From the IEC Statutes and Rules of Procedure – “Each CA System and scheme shall notify its Rules of Procedure to the CAB for endorsement”

➤ Done. See HBR 4 h).

### 3.6. Ongoing task of WG11

After publication of HBR, WG 11 to make recommendations to the CAB relative to approval of supplements and endorsement of additional Rules of Procedure. The Systems will provide red-line versions of their Supplement to the Basic Rules for Approval by CAB and red-line versions of other Rules of Procedure for endorsement.

Act as an SME to coordinating various System experts in an effort to harmonize or align aspects.

Background information:

Based on Council Board proposal and document CB/1293e Recommendation R4

IP4 Establish mechanisms to promote the unification of the core rules and processes of the various CA schemes as much as possible. (O4)

R4

#### Recommendation

Unifying as many as practical of the essential rules and processes of the various schemes

#### Item for CAB implementation mandated by CB

The CAB is requested to consider this further and to establish mechanisms to promote the unification of the core rules and processes of the various CA schemes as much as possible. (ref: C/1867/DV attachment Part 2 - 4)

➤ **Recommendation – (inclusion in the CAB WG 11 TOR):**  
CAB WG 11 will act as the reviewing body for the System Rules of Procedure to evaluate their compliance with IEC Statutes and Rules of Procedure, CAB Policy and the identification of possible areas for harmonization or alignment.

The CAB STF on Governance has proposed the concept of the scheme rules toolbox. The STF indicated that the toolbox concept needs to be further developed, but recognizes that further clarification is needed related to how this will be managed, who will manage it and how divergence issues will be addressed.

➤ **Recommendation – CAB WG 11 asks CAB for approval to act as the coordinator of the Subject Matter Experts from the Systems in an effort to harmonize or align aspects. CAB WG 11 recommends that it will act as the reviewing and monitoring body for this tool/toolbox approach.**

Based on the above, WG 11 reviewed the terms of reference currently out for ballot to CAB members and suggests the following clarification for CAB approval at some point in the future:

#### Terms of Reference:

WG 11 has the responsibility to undertake the following activities and make related recommendations for CAB approval on an ongoing basis:

- Develop the modifications to the Harmonized Basic Rules (HBR) necessary to ensure consistency among the Systems and with the IEC Statutes and Rules of Procedure and IEC CAB Policy.
- Review IEC CA Systems Supplements to the HBR.
- Act as the reviewing body for the System Rules of Procedure to evaluate their compliance with IEC Statutes and Rules of Procedure, CAB Policy and the identification of possible areas for harmonization or alignment.

- Identify opportunities for harmonization of documents and programs at the System level **and across the Systems**.
- Oversee the development of Harmonized Rules of Procedure and principles for standalone schemes.
- Considers issues associated with System membership of suspended IEC NCs.
- To consider the use by the IEC Systems of non-ISO and non-IEC documents.

### 3.7. CAB WG 10 Policy related issues Decision 37/14,

[WG 10 Recommendation 1: WG 10 recommends to advise the Convener of WG 11 of the policy and requests WG 11 to include a reference to this CAB Policy in the HBRs. WG 10 discussed the Masterplan recommendation in Item 1 of the Intellectual Property section. It was reported that there is currently no IEC policy on this and that the IEC and IEC Council Board is currently addressing intellectual property on a broader basis](#)

[WG 11 action per this request – Done see 4 d\) of the HBR](#)

[WG 10 Recommendation 4: WG 10 recommends that WG 11 develop a Guidance document for the use of Marks, Logos and CA System documents that would be relevant for the IEC CA Systems.](#)

[The potential loss of recognition as a leader in global CA services was updated as well. It was agreed by the WG that IEC CAB should develop a method to identify opportunities and the IEC should develop a mechanism for monitoring CA needs. The IEC CO and the IEC CA Systems should inform the CAB of potential opportunities and threats. There should also be consideration for a bundling of services offered by the different IEC CA Systems. It was proposed to develop a new Policy statement related to the IEC having a lead role in collaborative CA efforts. A query was made as to the meaning of the term “lead role”, to which the term “proactive” was proposed as an equivalent term. The meaning being that IEC should be proactive in proposing global CA solutions to other standards organizations and encourage them to join in collaborative work when there is a market demand. Refer to the Policy section below for proposed new text in CAB/1386/INF.](#)

[Documents to note:](#)  
[IECEX Guidance Document](#)  
[IECQ Guidance Document](#)  
[IECEE Guidance Document](#)

- [WG 11 Note - CO currently working with Legal, and subsequently the CB, to address from top level.](#)

### 3.8. Peer Assessment

**Decision 37/9 — USNC Peer Assessment proposal** – Subsequent to CAB Decision 37/8, the CAB tasked WG 11 to use CAB/1379/INF as a basis to perform an operational review of IEC CA Systems’ implementation of peer assessment with the goal of ensuring its conformance with CAB policy, seek harmonization where possible and to submit a report of its findings and recommendations. In parallel CAB requests the CA Systems to review this document and contribute to the WG 11 results.

[Document to note:](#)  
 CAB/1379/INF – Comparison of some elements of the Peer Assessment Process used by the IEC Conformity Assessment Systems.

[WG 11 Actions:](#)

- Include a reference in the HBR to peer assessment requirements
  - Done – see Clause 2

- Create a standalone document that harmonizes the principles and basic rules for peer assessment requirements as far as possible.
- WG 11 to address at the next meeting.

### 3.9. Standalone Scheme Rules

**Decision 37/13 — Standalone scheme rules.** The CAB tasked WG 11 with reviewing the proposed Basic Rules of a Standalone Scheme, given in CAB/1386/R.

Recommendations?

- Create a principles for standalone Schemes document first rather than rules.
- To be addressed at the next meeting.

### 3.10. Other Areas for Harmonization

**Decision 34/10 — WG 11, Systems Issues – Harmonization** The CAB asks WG 11 to investigate its possibilities to assist the Systems to identify opportunities for harmonization of documents at the scheme level.

Possible Areas for Harmonization noted by the WG 11

- Testing at Customer Facilities
- Peer assessment (see 3.3 above)
- Certification of Personal competency

- To be further discussed at the next meeting.

## 4. Report to CAB

Topics and Recommendations as noted above to be provided in report to CAB for June meeting.

## 5. CONSIDERATION OF NEXT STEPS

The following remaining work items were identified:

- Stand-alone Scheme Rules
- Peer Assessment
- Other areas for Harmonization
- Review of System Supplements

## 6. OTHER BUSINESS

None

## 7. NEXT MEETING

WG 11 members are to note the next meeting dates –

- Two days, 24-25 February 2016 – Location in US, possibly Denver area.

## 8. CLOSE OF MEETING

## Minutes from the 9-10 December 2015 meeting in Tokyo, Japan:

### INTERNATIONAL ELECTROTECHNICAL COMMISSION

#### Conformity Assessment Board WG 11 Systems Issues

**SUBJECT** Draft Minutes  
**Date of Meeting:** 24 and 25 February 2016  
09:00 to 17:00

**Location:** Northbrook, IL  
**Venue:** Underwriters Laboratories  
333 Pfingsten Rd  
Northbrook, IL 60062  
TEL: +1 847-272-8800

#### MINUTES

##### Meeting Commenced 0900

##### 1. OPENING AND WELCOME-

Welcoming address by Convener, introductions and review of Membership List. Thank you to UL and Steve Margis for hosting the meeting at their Northbrook, IL facility.

Member	Attendance
(CA)Chris Agius, IECEX, IECQ	Present
(TA)Thorsten Arnhold, IECEX Chair	Via web conference 1 <sup>st</sup> day
(SB)Simon Barrowcliff, United Kingdom	Present
Didier Bourgès, France	Apologies
Marie-Elisabeth d'Ornano, IECQ Chair	Apologies
(TD)Tim Duffy, United States	Present
(JG) Joe Gryn, Canada	Present
(DH) David Hanlon, IEC CO	Present
(SM) Steven T. Margis, United States	Present
(TK) Toshiyuki Kajiya, Japan	Present
(KM) Kerry McManama, IECEE, IECRE	Present
Wolfgang Niedzella Chair IECEE	Apologies
Mohamad Faudzi Mohd Yasir, Malaysia	Apologies
(AN) Albert J. Nagtegaal, Netherlands	Via web conference on 2 <sup>nd</sup> day
Fredrik Wennersten, Sweden	Apologies

**Action:** KM to reach out to Chairs of IECEE and IECRE to encourage participation and attendance in WG 11 meetings.

##### **WG 11 Scope:**

Current scope vote by CAB (Document 1477) approved 2015-12-21 (Document 1477ea).

##### **Terms of Reference:**

WG 11 has the responsibility to undertake the following activities and make related recommendations for CAB approval on an ongoing basis:

- o Develop the modifications to the Harmonized Basic Rules (HBR) necessary to ensure consistency among the Systems and with the IEC Statutes and Rules of Procedure and IEC CAB Policy.
- o Review IEC CA Systems Supplements to the HBR.
- o Identify opportunities for harmonization of documents and programs at the System level.
- o Oversee the development of Harmonized Rules of Procedure and principles for standalone schemes.
- o Considers issues associated with System membership of suspended IEC NCs.

- To consider the use by the IEC Systems of non-ISO and non-IEC documents.

### **Documents for noting**

- CAB WG 11 Meeting Minutes 9-10Dec2015 – Meeting minutes from December 2015 Japan meeting

WG 11 reviewed the minutes and noting comments from the IECEx and IECQ, proposed revisions to the two recommendations in Item 3.6 of the Minutes. The revised minutes (version 2) were placed in the collaboration tools and will be included in part B to CAB. No other changes to the minutes were proposed.

- Compilation of comments from the Systems with WG 11 comments ver2 – revised in Tokyo, Japan
- Draft\_IEC\_01\_v0-0-1\_Approved\_by\_CAB20141110b-with edits ver 02 – revised draft circulated after Tokyo, Japan meeting

## **2. Consideration and Prioritization of Next Steps**

WG 11 members are asked to consider the remaining tasks assigned and determine the priority for action.

From the Tokyo minutes (item 5): The following remaining work items were identified:

- i. HBR – document to be sent to CAB members for vote by correspondence.
- ii. Peer Assessment
- iii. Stand-alone Scheme Rules
- iv. Other areas for Harmonization
- v. Review of System Supplements – lowest current priority due to timing

The WG members noted the above items and the prioritization which included a de-emphasis of “Stand Alone Scheme Rules” due to the decision made by the CAB IEC-ITU Adhoc to recommend to CAB that the ITU work be accomplished under the CB Scheme.

## **3. APPROVAL OF THE AGENDA**

Agenda Approved

## **4. CAB WG 11 Assigned Tasks**

### **4.1. Harmonized Basic Rules**

#### **4.1.1. Timeline from CAB Document 1476. Comment Consolidation**

- March 2016 target for a CAB vote by correspondence on the final proposed HBR
- Approved HBR available for CA Systems’ management meetings (first IECQ in April 2016)
- CA Systems would work on their respective supplements during 2016
- Implementation of the HBR with supplements would begin 1st January 2017
- 2017 would be a transition year from the current Basic Rules to the HBR with supplements
- Final supplement versions would be approved by CAB at the 2017 General Meeting
- 1st January 2018 the HBR with supplements would be fully implemented.

In Minsk, CAB took the following two decisions:

#### **Decision 38/8 — Harmonized Basic Rules**

The CAB thanks the IEC CA Systems for respecting CAB Decision 36/10 to return their feedback on the draft Harmonized Basic Rules (HBR) to CAB by this meeting. The CAB noting the feedback in documents CAB/1388/R, item 5.4, CAB/1429/INF, CAB/1455/INF,

CAB/1462/INF and REMC/050/DFA, tasks WG 11 with reviewing these documents and submitting a final recommendation to CAB.

#### **Decision 38/12 — WG 11 CA Systems issues**

The CAB thanked the WG 11 Convener for his verbal report of the meeting held in Frankfurt in the week prior to this CAB meeting, and encouraged this group to move forward quickly to complete both the tasks assigned to it as indicated in the document CAB/1413A/R, and the new task given to it in CAB Decision 38/8 concerning review and recommendations of the feedback on the Harmonized Basic Rules.

**Action:** WG 11 approved the timeline, noted the affirmative comments from CAB members, and suggested that the Systems Secretaries send Document CAB/1476/DC to their respective Systems membership noting the specific target dates that the Systems are required to meet. This will allow the Systems to initiate work in the development of their Systems Supplements as quickly as possible.

**Action:** The CAB Secretary circulate the Draft HBR along with the Compilation of Comments (for information) to the CAB for vote by correspondence following WG 11 final approval.

**Action:** The CAB Secretary is to query the CAB Chair as to permission to circulate the Draft HBR and Compilation of Comments to the Systems Secretaries at the same time as the HBR is circulated to CAB for Approval (an INF type document for the Systems circulation of the Draft HBR).

#### **4.1.2. Continued Editing of HBR**

- Compilation of comments from the Systems with WG 11 comments ver2 – revised in Tokyo, Japan
- Draft\_IEC\_01\_v0-0-1\_Approved\_by\_CAB20141110b-with edits ver 02 – revised draft circulated after Tokyo, Japan meeting

WG 11 members reviewed the action items from the Tokyo meeting (per minutes) and addressed all concerns raised. The final version of the document is the version 3 document that was placed on the collaboration tools

WG 11 members also reviewed the action items (legal provisions and election rules) assigned to the CAB Secretary from the Tokyo meeting (per minutes) and addressed all concerns raised

- **Legal provisions** and review of Clause 10 of the HBR:

Firstly, in reply to the request in the WG 11 Frankfurt meeting report, section 3.1.1, that the CO review Section 10 Legal of the HBR for completeness and accuracy, this has been done. After receiving legal advice and having conducted a thorough analysis, the CO considers the proposed legal clauses to be appropriate.

The UK still has some concerns as to the risk it may incur due to the current text in Section 10. It is understood, however, that the UK NC will be meeting with the GS & CEO in the near future.

- **Election rules** per DH document – Candidate voting procedure

DH provided a document that had been researched from various voting rules outside the IEC addressing the election process for more than two candidates, since there was no IEC standardized process.

KM provided an explanation as to the process followed in IECRE, as there were a number of recent elections with more than two candidates for the position. The main issue being that the Management Committee decided as to the process to follow.

Since this issue is not of an imminent need, the WG decided to hold this item for future revisions consideration and development.



The HBR was revised in Section 12 (see also comment 53 in the compilation of comments file) to indicate secrecy of ballots and confidentiality of results for Officer or other candidate elections.

- **Additional suggestions** for consideration from David Hanlon – DH Suggestions

WG 11 Members reviewed Council Board Decision 2015/13 (see CAB/1470/INF) and took the following actions:

- Stakeholder participation in the Systems – WG 11 agreed that the Systems will compile a report for the June 2016 CAB Meeting on its activities to enhance industry involvement.

**Action: Systems Secretaries to provide in their Systems report to the June 2016 CAB meeting on its activities to enhance industry involvement for CAB report to the CB in June 2016.**

- Stakeholder participation at the MB level – WG11 added a new HBR requirement in Clause 5.1, 3<sup>rd</sup> paragraph requiring documentation as a part of the initial application process that describes the management organization, hierarchy, including sub-groups, and an indication as to how the national interests can participate in the Member Body.

In addition, A new paragraph was added a the last paragraph to Clause 5.1 to address representation of all national interests at the Member Body level and to require that the Member Body report annually to the Management Committee on its efforts to support full representation of national interests within their Member Body.

**Action: Systems Secretaries to review their application documentation and determine if changes are needed to support the revision suggestion.**

**Action: Systems Secretaries will need to establish a process for collecting the data on representation of national interests at the Member Body level.**

- Formation and operation of an executive committee – WG 11 made a changes in the HBR (Clauses 8.2 and 8.11) in accordance with CB Decision 2015/013 request.

- **Additional suggestions** for consideration from IECEx and IECQ (Chris Agius)

WG 11 reviewed the suggested revisions related to minor changes in the Introduction and the Governing Documents section of the HBR and agreed to some minor revisions. The change to Section 4. Governing Documents related to the format to be used for the Supplements in Clause 4 g).

- **Recommendation:** There will be a single HBR document (IEC CA 01) and each System will have their own document (IECEE 01-S, IECEx 01-S, etc,) which contains ONLY the Supplementary requirements. The formatting of the Clause Number will use numbering convention used by TC61 (e.g. IEC 60335-2-65).
- **Recommendation:** References to Committees falling under the MC should be in the Supplement, as to name, function etc, but Operational issues (Structure, eg) for the Committee should be covered in 02 Rules of Procedure documents.

#### 4.1.3. Voting/Non-voting – 2015/CAB/37/X6

From Item 10.1 of CAB/1401A/RM. The new Convener suggested that WG 11 should propose rules for the voting obligations of Member Bodies with some form of down-grading for non-response (along the lines of the Directives clauses 1.7.2 to 1.7.4) and that these should be included in the HBR. See item 63 in the CC

The WG drafted text using the terms “Voting” and “Non-Voting” to distinguish between the two levels of membership of Member Bodies. The only issue addressed is voting rights. There are no differences in the ability to attend meetings, comment on documents, make proposals, WG membership, dues, etc, between the level of Voting Member Body and Non-Voting Member Body.

The Recommendation, below, will be included in the Convener’s Report to the 2016 June CAB meeting. The intent is that the proposed draft requirements be sent for consideration/comment from the Systems, and that, if/once approved by CAB, the revisions to the HBR be in a 2<sup>nd</sup> Edition so as to not delay the publication and implementation of the 1<sup>st</sup> Edition of the HBR.

- **Recommendation:** Request approval from CAB for WG 11 to directly solicit comments from the Systems related to draft requirements for Voting and Non-Voting Member Body rights and obligations.

The draft requirements document related to Voting and Non-Voting Member Body membership was uploaded to Collaboration Tools for WG 11 review and comment.

- **Recommendation:** Request approval from CAB for WG 11 to directly solicit comments from the Systems related to a Draft “circulation of documents timeline” table to be included into the HBR.

The document with both Voting/Non-Voting and Circulation of Documents Timeline were included in a single document with highlights to identify the specific Clauses impacted (blue for Voting/Non-Voting and green for Circulation of Documents Timeline).

Filename:

[Draft\\_IEC\\_01\\_v0-0-1\\_Approved\\_by\\_CAB20141110b-with non-participating proposal.docx](#)

#### **4.1.4. Decision 36/10 — WG 11 Systems Issues – Harmonized Basic Rules - Appeals**

15 Appeals

Appeals concerning all IEC CA Systems ~~that can't be resolved at the CA Systems level are handled by~~ 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.

Per the minutes from Tokyo meeting (3.3) – “It should be noted that WG 11 decided to refer the issue of System level appeals back to the REMC for potential inclusion in the IECRE Supplement to the HBR. See CC item 68 for the WG 11 views.”

#### **4.2. Ongoing task of WG11**

After publication of HBR, WG 11 to make recommendations to the CAB relative to approval of supplements and endorsement of additional Rules of Procedure. The Systems will draft versions of their Supplement to the Basic Rules for Approval by CAB and red-line versions of other Rules of Procedure for endorsement.

WG 11 to act as an SME to coordinating various System experts in an effort to harmonize or align aspects.

See minutes from Tokyo meeting (3.6) for suggested change to ToR and Recommendations to be included in the Part A of the WG 11 Report to CAB.

#### **4.3. CAB WG 10 Policy related issues Decision 37/14,**

- [Recommendation 1 - WG 11 to include a reference to the CAB Policy in the HBR.](#)

[This activity was competed previously.](#)

- [Recommendation 4 - WG 11 to develop a Guidance document for the use of Marks, Logos and CA System documents that would be relevant for the IEC CA Systems.](#)

[From Tokyo minutes \(3.7\) – WG 11 Note - CO currently working with Legal, and subsequently the CB, to address from top level.](#)

#### 4.4. Peer Assessment

**Decision 37/9 — USNC Peer Assessment proposal** – Subsequent to CAB Decision 37/8, the CAB tasked WG 11 to use CAB/1379/INF as a basis to perform an operational review of IEC CA Systems' implementation of peer assessment with the goal of ensuring its conformance with CAB policy, seek harmonization where possible and to submit a report of its findings and recommendations. In parallel, CAB requests the CA Systems to review this document and contribute to the WG 11 results.

Document to note:

CAB/1379/INF – Comparison of some elements of the Peer Assessment Process used by the IEC Conformity Assessment Systems.

Possible Actions:

- Include a reference in the HBR to peer assessment requirements – This action was completed previously.
- Create a standalone document that harmonizes the principles and basic rules for peer assessment requirements as far as possible. – WG 11 postponed work on this item until the June 2016 meeting of the WG.

#### 4.5. Decision 37/13 — Standalone scheme rules. The CAB tasked WG 11 with reviewing the proposed Basic Rules of a Standalone Scheme, given in CAB/1386/R.

WG 11 reviewed the past discussions and noted the decision made by the CAB IEC-ITU Adhoc to recommend to CAB that the ITU work be accomplished under the CB Scheme, as such, WG 11 lowered the priority on the establishment of “Stand Alone Scheme Rules”

Possible options going forward:

- Reassess the need for a separate document
- Create a principles for standalone Schemes document first rather than rules.

#### 4.6. Other Areas for Harmonization

**Decision 34/10** — WG 11, Systems Issues – Harmonization The CAB asks WG 11 to investigate its possibilities to assist the Systems to identify opportunities for harmonization of documents at the scheme level.

WG 11 noted the past CAB decisions and proposed changes to the Terms of Reference and discussed possible new areas for harmonization and alignment utilizing Tool/Toolbox approach. The following recommendations and information are for CAB Member review and approval.

- **Recommendation** – WG 11 has identified opportunities and requests CAB to review the Concepts, Deliverables, Challenges and Possible future areas and approve the top three areas of work (Personnel competencies, Peer assessment, and Testing at Customer Facilities) as priorities.
- **Recommendation** – WG 11 recommends a call for subject matter experts from the Systems and CAB for work in the area of Certification of Persons to create a standard framework and Scheme document.

**Concepts:**

- Identification of opportunities for harmonization of documents and alignment of programs.
- CAB enforcement of IEC Statutes, CAB policy, concepts and rules. Any deviation would require a proposal to change governing documents

- Foster an environment of research and collaboration (prior to embarking on new programs).
  - Collaboration and sharing of new work areas (between existing and new Schemes) to allow for identification and use of existing programs/rules
- Raising the knowledge level of participants in CA practices/principles and IEC culture. Education of Officers of the Systems on the IEC Statutes and Rules of Procedure and IEC CAB Policy as a requirement
- Create value for those creating new programs/services by sharing and using best practices from the Systems

**Deliverables (Possible tools for enhancing alignment):**

- High level analysis / document (e.g. blueprint, framework or operating model) that defines top levels priorities and concepts that are required
  - CAB Policy
  - IEC CA 01 with supplement
  - Develop 02 guide document and template with basic requirements and principles (elements including re-assessment, customer testing facilities).
    - Develop a generic document for rules and procedures for equipment scheme, service scheme and personnel competency scheme. Provides a mandatory baseline.
- Need to put in place the structure/mechanism for conducting the analysis and work.
  - Inclusion of experts from the Systems to do the work.
  - Not repeat past missteps.
- Cross reference list of programs including documents – start with the items brainstormed below
- Smart tagging of the documents to facilitate easier searching
- Document storage location – where to get the documents

**Challenges:**

- Compensation for experts working across Systems
- Not invented here mentality
- Perception of a top down mandate and that harmonization leads to a loss of control

**Top 3 Prioritized list of brainstormed / identified possible best practice areas:**

4. Personnel competencies – noting IECEx has current program, IECEE is potentially looking to create a Scheme related to Machine Safety and Functional Safety (NECA MOU) and IECRE has expressed a longer term desire
5. Peer assessment
6. Testing at Customer Facilities – IECEE OD-2048 and IECEx OD-024
  - a. Identify common elements and differences

**Future potential areas:**

- Interpretation of requirements / interaction with standards side (TC/SC)
  - Feedback loop
  - Consistent application of requirements
- Proficiency Testing Program (PTP) principles/operation – noting the cooperation between IECEE and IECEx as a success story
- General Non-Conformity Report (GNCR) and Corrective actions
- Mechanisms for issuing and displaying Certificates of Conformity. Online Certificate Database
- Appeals and complaint mechanism/rules
- Documentation Structure and Hierarchy
  - Guidance on document control, naming, implementation (transition period, phase-out, roll-out)
- Harmonized approach to writing 02 level documents – best principles/base document or structure

- Propagation of knowledge and past policy decisions
  - Database of decisions available

## 5. Report to CAB

WG 11 members tasked with Convenor with preparation of the report and Recommendations for the CAB meeting.

## 6. CONSIDERATION OF NEXT STEPS

Members noted the following items (parking lot issues) for potential future inclusion in the HBR.

**Voting/Non-Voting and Document distribution** – Draft 2<sup>nd</sup> edition of the HBR to be sent to CA Systems for comment provided CAB authorization is given at the June 2016 CAB meeting.

### **Re-endorsement (inclusion in 5.1 Membership)**

Possible 5 year

*DH: It was also suggested that the MB should be required to be re-endorsed every 5 years or so. The idea here is that the naming and endorsement of a MB would no longer be a single-slot (forever) endorsement. It could have tow effects. It could make the NCs more responsible towards there MB and the IEC, and, it came the MBs more responsible towards the NC.*

### **Membership**

HBR 5.1

*The Member Body of the CA System shall be fully representative of the national conformity assessment community and should include a wide representation from industry, regulatory authorities and standards bodies as well as conformity assessment interests and shall be open to participation by all national interests.*

### **Complaints procedure per 17067 CI 6.5.5**

*6.5.5 Complaints and appeals to the scheme owner*

*The scheme should define the complaints and appeals process within its organization and who is responsible for undertaking this process.*

*Appeals against the decision of the certification body and complaints about the certification body should be addressed to the certification body in the first instance.*

*Appeals and complaints that have not been, or cannot be, resolved by the certification body can be addressed to the scheme owner.*

## 7. NEXT MEETING

Next meeting is scheduled for Tuesday, 14 June 2016 in Geneva (day after the CAB Meeting)

## 8. CLOSE OF MEETING

The meeting was adjourned at 4:25 PM 25 February 2016

**Part C: Review of Previous CAB Decisions Related to WG 11**

All previous CAB decisions and actions are noted in the minutes of the previous meetings.

Year	Type	Meeting ↓	Decision ↓	Decision (or requested action)	Action ←	Comments	Who
2015	CAB	38	X7	From Item 6.5 of CAB/1471/RM. WG 11 Convener to make request to IEC CO to review Section 10 of the HBR (CAB/1309A/R) for legal aspects.	C	Completed – legal review by CO completed	Duffy
2013	CAB	34	10	Decision 34/10 — WG 11, Systems Issues – Harmonization The CAB asks WG 11 to investigate its possibilities to assist the Systems to identify opportunities for harmonization of documents at the scheme level.	C	See Recommendations A.2, A.8 and A.9	WG11
2014	CAB	36	X2	WG 11 was requested to combine the comments from the Alternate for China, Ms Chunjing Du, with other comments concerning the Harmonized Basic Rules (HBR) coming from the CA Systems. Ms Du's comments concerned the word "independent" in line 26 of the proposed HBR which was considered to be not sufficiently strong to demonstrate the merit of the IEC CA Systems, and she proposed the words "impartial third party". On a second point, she expressed concern that the concept of mutual recognition was not stated in these HBRs. (Item 7.3.1 in CAB/1342/RM).	C	Completed – included in HBR approved by CAB	WG11
2015	CAB	37	9	Decision 37/9 — USNC Peer Assessment proposal Subsequent to CAB Decision 37/8, the CAB tasked WG 11 to use CAB/1379/INF as a basis to perform an operational review of IEC CA Systems' implementation of peer assessment with the goal of ensuring its conformance with CAB policy, seek harmonization where possible and to submit a report of its findings and recommendations. In parallel CAB requests the CA Systems to review this document and contribute to the WG 11 results.	A	2015-09-07: next meeting scheduled for 2015-10-06  2015-10-06: This subject was recognized, but no actions yet taken. WG 11 priority at this stage in the HBR. A meeting to address this issue will be schedules for 2016.  2016-06: Ongoing work, to be discussed at 14 June 2016 meeting.  See Recommendation A.8 for priority	WG11

Year	Type	← Meeting	← Decision	Decision (or requested action)	← Action	Comments	Who
2015	CAB	37	13	Decision 37/13 — Standalone scheme rules The CAB tasked WG 11 with reviewing the proposed Basic Rules of a Standalone Scheme, given in CAB/1386/R.	A	2015-09-07: next meeting scheduled for 2015-10-06  2015-10-06: This subject was recognized, but no actions yet taken. WG 11 priority at this stage in the HBR. A meeting to address this issue will be schedules for 2016.  2016-06: Lower priority due to ITU recommendation for transfer to IECEE.	WG11
2015	CAB	37	14	Decision 37/14 — CAB WG 10 on Policy and Strategy The CAB thanked WG 10 for its report, CAB/1382/R, and for the 8 recommendations contained there-in and decided to treat each as follows: Recommendation 1: Approved by CAB. Recommendation 2: In a follow-on from CAB Decision 35/18, CAB agreed that the IP policy should be reviewed by an appropriate CAB sub-group at the appropriate time. Recommendation 3: Recognizing that this was an issue beyond the CAB's authority, it decided to raise it to the Council Board level. Recommendation 4: Approved by CAB. Recommendation 5: The RMG (Risk Management Grid) was approved by CAB in a separate decision (Decision 37/15). Recommendation 6: Approved by CAB. Recommendation 7: Approved by CAB. Recommendation 8: CAB decided to modify this recommendation as follows: CAB recognized that review of new CAB decisions for policy aspects was the task of the CAB Chairman and Secretariat and agreed that such new policy should be accumulated at the end of the IEC CA Policy document, circulated after each CAB meeting allowing the opportunity for any member of CAB to comment, and then integrated into the policy document every few years (eg 5) or immediately if warranted by the situation.	C	WG11 2 Actions: 1) Recommendation 1 - WG 11 to include a reference to the CAB Policy in the HBR 2) Recommendation 4 - WG 11 to develop a Guidance document for the use of Marks, Logos and CA System documents that would be relevant for the IEC CA Systems.  2015-09-07: Next WG 11 meeting planned for 2015-10-06. 2015-10-06: This subject was recognized, but no actions yet taken. WG 11 priority at this stage in the HBR. A meeting to address this issue will be schedules for 2016.  2016-06: Guidance document being developed by IEC CO	WG11

Year	Type	← Meeting	← Decision	Decision (or requested action)	← Action	Comments	Who
2015	CAB	37	X6	From Item 10.1 of CAB/1411/RM. The new Convener suggested that WG 11 should propose rules for the voting obligations of Member Bodies with some form of down-grading for non-respect (along the lines of the Directives clauses 1.7.2 to 1.7.4) and that these should be included in the HBR.	A	<p>2015-09-07: next meeting scheduled for 2015-10-06</p> <p>2015-10-06: This subject was recognized, but no actions yet taken. WG 11 priority at this stage in the HBR. A meeting to address this issue will be schedules for 2016.</p> <p>2016-06: Ongoing – See Recommendation A.6 for request to solicit comments from the CA Systems</p>	WG11
2015	CAB	38	8	Decision 38/8 — Harmonized Basic Rules The CAB thanks the IEC CA Systems for respecting CAB Decision 36/10 to return their feedback on the draft Harmonized Basic Rules (HBR) to CAB by this meeting. The CAB noting the feedback in documents CAB/1388/R, item 5.4, CAB/1429/INF, CAB/1455/INF, CAB/1462/INF and REMC/050/DFA, tasks WG 11 with reviewing these documents and submitting a final recommendation to CAB.	A	<p>2015-11-18: next meeting scheduled for December 9 and 10 in Tokyo.</p> <p>2016-06: HBR (<a href="#">CAB/1490/DV</a>) approved by CAB members via correspondence. Results of voting included in <a href="#">CAB/1490A/RV</a></p>	WG11



**Appendix A: (Supporting Materials to Above Report)**

No additional materials included