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

IECEE OD-2048:2014(E)

**Third Party Utilization of Customers’ Testing Facilities**

Edition 1.2 2014-06-04

IECEE OD-2048



IECEE
OPERATIONAL DOCUMENT

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

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**Third Party Utilization of Customers’ Testing Facilities**

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# Introduction

**1.1** The Third Party Utilization of Customers’ Testing Facilities (TPU CTFs) concept combines rigorous qualification of CTF’s capabilities, a confidence building phase, extensive exchange of information between the CBTL/NCB/LTR and the CTF, and a comprehensive witnessing and supervision programme. The content of the witnessing and supervision program may evolve and change as confidence is built in the strength of the quality management system and testing expertise and experience of the CTF.

Third Party Utilization of Customers’ Testing Facilities (TPU CTFs) is a comprehensive procedure by which personnel of a NCB, CBTL, or a LTR, obtains test data developed at a Customer’s Testing Facility (CTF). The testing facility must comply with both the technical and the Quality Management System (QMS) requirements of ISO/IEC 17025 that are relevant to the activities performed at the CTF.

The TPU CTFs program provides a continuum of increasing confidence of the NCB in the Customer Testing Facilities and staff capability and experience, and the corresponding progression of increasing CTF responsibility for the test program and its underlying activities. The concept of this continuum is illustrated by the diagram below:



TPU-CTFs is a procedure by which, on request of a NCB, personnel from a CBTL, or a qualified LTR, perform or witness tests at a Customer’s Testing Facility (CTF). Qualified NCB staff may also witness testing at a CTF.

**1.2** For that purpose different stages (see [Annex B](#_Annex_B_Third)) have been considered:

**Stage 1 – Full testing carried out by CBTL staff or qualified LTR at CTF**

At the most basic, the CBTL staff, or a qualified LTR, carry out all required tests at the CTF, utilizing either its own test equipment brought to the test site, the customer’s test equipment or some combination of both.

**Stage 2 – Witnessing 100 per cent of each test program**

When the customer possesses all the necessary test equipment, experienced and qualified staff to carry out the intended tests, the CBTL/NCB qualified staff or a qualified LTR, may witness tests performed by the CTF personnel.

Initially, 100 per cent of the tests carried out by the CTF staff are witnessed by the CBTL/NCB qualified staff or a qualified LTR.

**Stage 3 – Witnessing selected parts of each test program**

As the CTF gains experience and the CBTL/NCB level of confidence in the CTF increases, only a selected portion of each test program is witnessed by the CBTL/NCB qualified staff or a qualified LTR.

**Stage 4 – Witnessing selected parts of selected test programs**

At this fully qualified level the CBTL/NCB or the LTR exercises its judgment in deciding which test programs and/or tests need to be witnessed. Such decisions are made by or in collaboration with the NCB. As a minimum, a selected portion of some test program(s) is to be witnessed annually by the CBTL/NCB qualified staff or a qualified LTR.

The above stages shall be considered as a whole to be a progression from full control of testing by a CBTL to full confidence in the capability of the Customer’s Testing Facilities.

The TPU CTFs program provides a continuum of increasing confidence of the NCB in the Customer’s Testing Facilities and staff capability and experience, and the corresponding progression of increasing CTF responsibility for the test program and its underlying activities. The concept of this continuum is described in this foreword and is illustrated in [Annex B](#_Annex_B_Third).

# References and general provisions

The following documents apply to the general arrangements for the TPU CTF:

* IECEE 02 Series (Rules)
* IECEE Definitions
* OD-2017 Check List for Testing and Calibration Laboratories
* OD-2034 Operation of Local Technical Representative (LTR)
* OD-2025-A and OD-2025-B CTF Assessment Reports
* ISO/IEC 17025 General Requirements for the Competence of Testing and Calibration Laboratories
* ISO/IEC Guide 65, General Requirements for Bodies Operating Product Certification Systems
or
ISO/IEC 17065, Conformity assessment - Requirements for bodies certifying products, processes and services
* Other applicable IECEE ODs
* Applicable CTL Decisions
* Applicable PAC decisions

# Definitions

## CTF Assessment

Means systematically checking compliance with the requirements detailed in this procedure and other relevant IECEE operating documents. Assessments may be Initial, Annual, Follow-up, On-going visits, or Re-assessments.

* Initial assessment means checking of **all** essential parameters (See OD-2025-A or OD-2025-B) needed to ensure reliable and acceptable data. (Applies to all Stages)
* Annual assessment means checking parameters (See OD-2025-B) needed to ensure reliable and acceptable data (Applies to Stage 3 and 4)
* Follow-up assessment means verifying the implementation of corrective actions resulting from a previous assessment, when such verification is required
* On-going visits are used to revalidate previous assessment reports, and that means only checking the parameters that have changed since the previous assessment and those that are sensitive to the reliability of the data.
* Re-Assessment means re-checking of **all** essential parameters (See OD-2025-A or OD-2025-B) needed to ensure reliable and acceptable data.

# General principles applicable to all the CTF Stages

## Requirements for CTFs

### Customer’s Testing Facility (CTF)

1. a CTF shall be operated by a legal entity that has full responsibility for continued compliance of the CTF with the relevant requirements of ISO/IEC 17025 and IECEE Operational Documents.
2. a CTF must not carry out testing, in the CB scheme, for other product suppliers(e.g.: customers, manufacturers, producers, sellers, distributors, retailers) unless the legal entity is under contract for producing or assembling those products.

### Ownership of Customer’s Testing Facility (CTF)

The legal entity, owner of the CTF, shall comply with the following pre-requisite criteria:

1. having substantial business interest in and liability for the product
2. having reputation invested in the product through e.g.: producing for another brand name owner, branding its own Mark, own trade Marks
3. having responsibility and the means for ensuring compliance of the product with the requirements of the standards

Consequently:

* A testing laboratory of a Contract Manufacturer can serve as a CTF.
* An independent (third party) laboratory is not permitted to operate as a CTF.

## General Principles

A CTF is a Customer’s Testing Facility used by the NCB to test specified products. The acceptance of a CTF applies only to its IECEE-related work in association with the responsible NCB(s).

* The NCB/CBTL wishing to use this procedure must have the relevant product category (ies) and standard(s) in its accepted IECEE scope.
* The staff that carry out testing or witness testing must have the necessary technical competence and expertise.
* The NCB is responsible for all activities under this procedure, including the appropriate delegation of tasks.
* The NCB is responsible to delegate appropriately tasks in relation with this procedure.
* The NCB carries out the final independent review and endorses the CB Test Report (See [Annex B](#_Annex_B_Third)).
* The decision to qualify, register and subsequently to use a CTF must be approved beforehand by the relevant NCB.
* All testing carried out at a Customer’s Testing Facility shall be in accordance to the relevant requirements of ISO/IEC 17025 and the applicable IECEE procedures and decisions. Test results obtained shall be from a sample representative of production.
* The NCB shall have the right to obtain a product sample and to carry out validation of previously obtained test results prior to issuing a CB Test Certificate.
* The NCB shall qualify a CTF for specific standard(s) and/or tests within those standards provided the integrity of sequence testing is respected and for which the laboratory has a proven capability. No subcontracting is permitted. A CB Test Certificate issued by the NCB obtained by Third Party Utilization of a CTF has the same status as one obtained from a CBTL.
* A new CTF may enter this program at either Stage1 or Stage 2, and can progress to higher stages only through participation at the lower stage and achieving the confidence of the NCB/CBTL’s technical staff.
* After progression to a higher stage, a CTF is entitled to be registered to operate, within their recognized scopes, at lower-level stages, without additional assessments, agreements and reports. If requested by the CTF, the registration is handled by the NCB. Such operation shall be in compliance with all other requirements for these stages, and will result in the issuance of appropriate CB Test Reports for the relevant stages.

Note: A laboratory that has previously participated in MTLs program is not considered a new CTF for this purpose; however it needs to fulfil the requirements of this OD.

* It is the NCB’s decision to allow a CTF to progress to the next stage.
* A customer permitted to use its own CTF shall not use this fact for promotional or advertising purposes.
* The Executive Secretary of the IECEE shall maintain and publish a register of those CTFs participating and the categories of product involved.
* The assessment and auditing of Customers’ Testing Facilities shall be carried out using the same requirements that apply to CBTLs, as specified in this OD to the relevant CTF stage.

## Documents for use in Assessments of CTFs

Assessments shall be based on the following Operational Documents:

* OD-2017: Check List for Testing and Calibration Laboratories (Stages 3 and 4 only: For initial assessments or if changes have been made since the last re-assessment)
* OD-2025-A: CTF Assessment Report for Stages 1 and 2
* OD-2025-B: CTF Assessment Report for Stages 3 and 4

These documents provide a framework for the assessment and acceptance of a CTF.

Assessment reports are to be available for scrutiny when the NCB is assessed.

## Requirements for Assessors

The assessors utilized by the NCB or CBTL for the assessment of CTFs, must meet the following criteria:

* requirements of ISO 19011, Section 7,
* in-depth knowledge of the relevant IECEE Rules and Procedures,
* Technical Assessors must have appropriate educational background, technical training and experience that must be clearly described in the employer’s procedures and records,
* must have appropriate training in ISO/IEC 17025 and quality system auditing,
* registered assessors with IECEE peer assessment program, or internally trained and approved assessors,
* appropriate documented experience in the technical field assessed and in performing assessments.

# Responsibilities

## Responsibilities of the NCB

The NCB is responsible for:

1. ensuring that all personnel involved in performing or witnessing tests are fully trained on an on-going basis in:
2. procedures, processes and technical requirements involved,
3. relevant laboratory practices and testing procedures
4. verifying initially and on an on-going basis the technical competence of the CTF
5. initial assessment, reassessment, on-going control and decision on progression of the CTF in accordance with these requirements
6. maintaining a sustained program of witnessing of tests and monitoring of the quality management system at the CTF
7. approval the test programs for which CB Test Reports are prepared
8. reviewing the test reports prepared by the CTF
9. assessing and accepting the QMS Procedures of the CBTL, or qualified LTR, if used, (e.g.: ISO/IEC 17025 QMS Procedures which adequately cover all aspects of working off-site at the CTF) applicable to the operation of the TPU CTFs program
10. when the NCB or by delegation a qualified LTR performs work under this program without involving a CBTL, having appropriate procedures and documentation for the operation of the TPU CTFs Program, including having ISO/IEC 17025 QMS Procedures which adequately cover all aspects of working off-site at the CTF;
11. review of the CBTL’s documentation for carrying out CTF work covering the assessment of the Customer’s Testing Facility and the CTF contractual arrangements
12. ensuring that there are appropriate two-way or three-way agreement(s) between the NCB, CBTL and the CTF
13. registration of the Customer’s Testing Facility (CTF) with the IECEE Secretariat, and the maintenance of the correct details in the IECEE register of CTFs
14. where the NCB or a LTR is witnessing tests, without involving a CBTL, reviewing and endorsing the test report
15. issuing CB Test Certificates
16. ensuring the CTF’s participation in applicable CTL Proficiency Testing Programs
17. arranging all other required tests that are not carried out at the CTF
18. adjusting the Stage of the CTF, as may be necessary, if any of the changes noted in clauses 10.4.2 and 10.4.3 occur.
19. For Stage 4, the NCB shall appoint a representative to the IECEE Peer-Assessment Team. This appointed representative may also be acting during the peer-assessment as assessor. In case of multiple NCBs (See clause [14](#_Relationships_with_multiple)) each NCB involved with this MTL/CTF shall appoint a representative to the Assessment Team.

## Responsibilities of the CBTL (where involved)

The CBTL performing this role on behalf of a NCB is responsible for:

1. having appropriate procedures and documentation for the operation of the TPU-CTFs program, including having ISO/IEC 17025 QMS Procedures which adequately cover all aspects of working off-site
2. auditing its own quality management system to ensure the correct application of off-site work procedures for CTF
3. assessing the facilities and equipment of the CTF
4. defining the role of the customer’s personnel in support of the CTF activities
5. ensuring the presence of CBTL’s staff at the CTF during testing and defining their role in relation to the CTF’s personnel who prepare and carry out the tests
6. assessing the competence of CTF personnel to carry out the required tests
7. being a party to an appropriate agreement as in 5.1 j) above
8. the conduct of the tests and for the content of the subsequent test report (CBTR)
9. witnessing all aspects of the tests carried out by the CTF (for stages 2, 3, 4 only)
10. signing the CBTR and taking the overall responsibility for the testing of the product, the compilation of the CBTR and for its technical content
11. reviewing and signing the test report under Tested By and “Approved by”, according to [Annex B](#_Annex_B_Third)
12. carrying out a technical validation of the CTF’s work during each visit to the CTF.

## Responsibilities of the CTF

The Customer’s Testing Facility is responsible for:

1. demonstrating that its facilities are in compliance with all relevant requirements of ISO/IEC 17025 and the applicable IECEE requirements
2. identifying an appropriate person to be responsible for the facilities and/or services provided to the NCB, CBTL or LTR
3. ensuring that all tests are carried out in accordance with the applicable technical requirements and the instructions of the NCB, CBTL or LTR
4. conducting the tests under the direction of the responsible CBTL/NCB or of the LTR
5. preparation, review and signing, as applicable of a CB Test Report (see [Annex B](#_Annex_B_Third))
6. participating, as described in section 16, in the relevant CTL Proficiency Testing Programs
7. keeping all technical records, such as original test data, for a period of at least 10 years
8. at stages 3 and 4 to be able to demonstrate the capability to determine and calculate measurement uncertainties

# Application by a Customer

**6.1** An application shall be made to the appropriate NCB according to the Procedures of that NCB and of the IECEE Schemes.

**6.2** In addition, the application documents shall provide:

* evidence that the Customer’s Testing Facility operates independently of other departments of the applicant organization that could give rise to a conflict of interest (e.g.: production, marketing, sales)
* evidence that the staff employed in testing at this facility have no conflict of interest within the applicant organization

# Procedures for CTFs testing

**7.1** The NCB witnessing testing or by delegation a qualified LTR performing work at a CTF and the CBTL performing testing shall have QMS procedures covering all aspects of working off-site and shall organize periodic auditing of its own off-site operations.

**7.2** The CTF shall comply with the applicable ISO/IEC 17025 (see OD-2025-A and
OD-2025-B) and provisions specified in clause 2 of this OD.

**7.3** Records of on-going visits:

The NCB shall keep the records of on-going visits to the CTFs.

# Product Evaluation at the Customer’s Facilities - Testing and Witnessing Stages

## Stage 1 - Full testing carried out by CBTL staff or qualified LTR at CTF

Testing is carried out fully by the CBTL personnel or a qualified LTR at the customer’s facility, with the CBTL’s own or Customer’s test equipment, or both.

Customer’s personnel may assist in the preparation for and in the conduct of tests.

## Stage 2 - Witnessing 100 per cent of each test program

Testing is carried out by the Customer’s Laboratory personnel in the presence of the NCB, CBTL or LTR and as requested by the NCB, CBTL or LTR. Qualified witnessing staff of the NCB, CBTL, or a LTR, shall be present whenever tests are conducted, and shall supervise, check, and witness all critical aspects of the tests.

This includes but is not limited to:

1. preparing a product test program and providing it to the CTF
2. checking the test set-up, instrumentation and the relevant equipment calibration
3. monitoring the conducts of the tests and witnessing the acquisition of the data by the CTF personnel
4. confirming then through objective evidence that specified requirements have been fulfilled.

## Stage 3 - Witnessing selected parts of each test program

The same requirement as stage 2 applies. However, witnessing is carried out on some selected parts of each approved test programs.

Testing is carried out by the Customer’s personnel in the presence of NCB, CBTL or LTR for some part of each test program as requested by the NCB.

Qualified witnessing staff of the NCB, CBTL, or a LTR, shall supervise, check, and witness all critical aspects of the witnessed tests.

This includes but is not limited to:

1. approving the test program plan developed by the CTF
2. checking the test set-up, instrumentation and the relevant equipment calibration for the witnessed tests
3. monitoring the conducts of the tests and witnessing the acquisition of the data by the CTF personnel
4. then confirming through objective evidence that specified requirements have been fulfilled.
5. verifying the final data acquisition for the witnessed tests

## Stage 4 - Witnessing of some part of selected test programs

In this stage some parts of the selected program identified by the NCB or CBTL or LTR on request of the NCB are witnessed.

Testing is carried out by the Customer’s personnel in the presence of NCB, CBTL or LTR for some part of selected test programs identified by the NCB.

Qualified witnessing staff shall supervise, check, and witness all critical aspects of the witnessed tests.

This includes but is not limited to:

1. approving the test program developed by the CTF
2. checking the test set-up, instrumentation and the relevant equipment calibration for the witnessed tests
3. verifying the final data acquisition for the witnessed tests

Witnessing by the CBTL/NCB qualified staff or a qualified LTR, is required when new tests are being performed, when new equipment or personnel are being used.

Following are examples of such cases:

* testing new product types
* testing products involving new features (e.g.: components, software) impacting compliance with the standard
* testing product of larger size affecting test set-up and testing equipment
* testing product of greater scope of the test program
* testing is made by newly qualified staff

# Access to a Stage - Initial Assessment of the CTF

**9.1** Following receipt of an application for access to each stage, the NCB shall initiate a Qualification Assessment which typically includes the following steps:

* initial evaluation of the Quality System and Procedures employed by the laboratory, including verification of the information provided with the application
* evaluation of the general competence of the laboratory in testing
* verification of the competence of CTF staff to perform tests within specified areas (does not apply to Stage 1 unless CTF staff are assisting)

**9.2** The initial assessment of the CTF, conducted as per clauses [10](#_Initial_Assessments_and) and 11, shall be carried out, by the NCB or by the CBTL or the LTR (see OD-2034) on request of the NCB, in accordance with the relevant requirements of ISO/IEC17025 (see OD-2025-A and OD-2025-B) and provisions specified in clause 2 of this OD.

**9.3** Requests for recognition of CTFs and the related assessment reports shall not be submitted to the IECEE Secretariat until all NCRs have been resolved.

**9.4** To access Stage 3 and 4, the initial assessment will include conducting comparison tests based on a programme defined by the NCB, in which the same product is tested, and a report prepared, by both the candidate laboratory and a CBTL.

Note: Appropriate means have to be taken if e.g. test equipment is only available at the manufacturer’s lab or the test samples cannot be easily moved to the CBTL.

# Initial Assessments and Re-assessments of the CTF under the responsibility of the NCB

## Stage 1 and 2

An initial assessment of the CTF by the NCB, or under the NCB responsibility, by the CBTL or LTR (per OD-2034) in accordance with the relevant requirements of ISO/IEC 17025 (see OD-2025-A) and provisions specified in clause 2 of this OD is required.

Over the course of each year, the initial assessment results shall be re-validated. This may be accomplished during one or more on-going visits to the CTF.

In case of no activity within a year, an Initial Assessment is to be conducted as set above.

## Stage 3 and 4

An Initial Assessment is conducted at CTF by the NCB, or under the NCB responsibility, by the CBTL or LTR (per OD-2034) in accordance with the relevant requirements of ISO/IEC 17025 (see OD-2025-B) and provisions specified in clause 2 of this OD is required.

An annual assessment of the CTF, by the NCB, or under the NCB responsibility, by the CBTL or LTR (per OD-2034) in accordance with the relevant requirements of ISO/IEC 17025 (see OD-2025-B) and provisions specified in clause 2 of this OD is required.

Where required to verify the implementation of corrective actions, a follow-up assessment is conducted by the NCB, or under the NCB responsibility, by the CBTL or LTR (per OD-2034).

A full re-assessment must be carried out every three years.

## Stage 4

At Stage 4, an on-site IECEE Peer Assessment is required initially and once every three years thereafter. One appointed IECEE Lead assessor will accompany the NCB appointed assessor for this assessment.

## Stages 1-4

Initial Assessment and any subsequent Assessments activities are to be fully documented by utilising the relevant Assessment Report Form (see OD-2025-A or OD-2025-B).

For significant organizational changes, such as relocation or major scope extension, change of NCB, an on-site assessment is required. Major scope extensions may include, but are not limited to, the addition of new standards or product categories that require new test equipment, facilities and/or competencies. A relocation assessment shall include, but not be limited to, the verification of power supply. Other organizational changes, such as those listed below, may also require an assessment:

* changes in the CTF organisational structure
* changes in QMS
* changes in personnel
* changes in equipment
* changes in facilities
* changes to the applicable requirements
* insufficient activity to maintain current recognition

The need for an assessment in Stage 4 (Peer Assessment) is determined by the IECEE Secretariat, otherwise, the NCB decides if an assessment is necessary.

# Criteria for progression to higher Stages

## Stage 1 is the basic level of the TPU CTFs

A CTF is eligible to operate at Stage 1 when:

* it has appropriate accommodation and environment
* it has appropriate power supply
* it has appropriate management and infrastructure
* it has been qualified as per sub-clause [9.1](#_Stage_1_and)
* final decision is made by the NCB based on the evidence provided

## Progression from Stage 1 to Stage 2

A CTF is eligible to progress at Stage 2 when:

* it possesses all the necessary test equipment
* it has qualified (experienced) staff to carry out the intended tests
* it has been qualified as per sub-clause [10.1](#_Stage_1_and)
* final decision is made by the NCB based on the evidence provided.

## Progression from Stage 2 to Stage 3

A CTF is eligible to progress from Stage 2 to Stage 3 when:

* it can at least be maintained in Stage 2
* Successful completion of 5 complete test programs at Stage 2 or has successfully maintained Stage 2 status for a minimum of two years, prior to a recommendation being made.

Note: Complete Test Programs are representative of the scope for which the CTF was recognized at Stage 2. Any missing tests are demonstrated by assessment.

* recommendation is made by qualified staff of NCB, CBTL or LTR
* participation in PTP is effective
* it has been qualified as per sub-clause [10.2](#_Stage_3_and)
* final decision is made by the NCB based on the evidence provided

## Progression from Stage 3 to Stage 4

A CTF is eligible to progress from Stage 3 to Stage 4 when:

* it can at least be maintained in Stage 3
* Successful completion of minimum 5 complete test programs at Stage 3, prior to a recommendation being made.

Note: Complete Test Programs are representative of the scope for which the CTF was recognized at Stage 3. Any missing tests are demonstrated by assessment.

* recommendation is made by qualified staff of NCB, CBTL or LTR;
* participation in PTP is effective and successful
* it has been qualified for the stage as per sub-clause [10.2](#_Stage_3_and)
* final decision is made by the NCB based on the evidence provided

Together with the progression of the CTF to increasing responsibility, additional parts of ISO/IEC 17025 may apply (see OD-2025-B) and provisions specified in clause 2 of this OD.

# Criteria for maintaining recognition for Stages 2, 3 and 4

**12.1** Stage 2

* each of the tests in the CTF’s Scope that have been witnessed is carried out correctly
* during each visit on-going compliance of the facility is verified
* any shortcomings shall be effectively addressed
* maintenance decision is made by the NCB, based on the evidence provided

**12.2** For Stage 3 and 4

In order for CTF to maintain the current Stage of recognition:

* each of the tests that have been witnessed is carried out correctly
* any shortcomings shall be effectively addressed
* all tests in the CTF’s Scope, however, must have been witnessed over a period of 36 months
* the NCB/ CBTL must have appropriate procedures to conduct such witness testing
* successfully undergoes the re-validation as per clause 10, through assessment(s) carried out over the course of the preceding year
* successfully participate in the relevant PTP

Maintenance decision is made by the NCB, based on the evidence provided.

**12.3** If the minimum activity of sub-clause 12 is not fulfilled, the NCB shall take appropriate measures to cover the missing elements:

* carry out additional on-site witness testing, or
* perform a full assessment of equipment and testing capability
* at Stages 3 and 4, the NCB shall perform comparison testing for tests that were not witnessed
* for PTP-related NCRs, the NCB works with the CTF to resolve the identified issues

**12.4** If the activities covered under sub-clause 12 are not carried out or are not successful, the NCB shall reclassify the CTF to a lower Stage or cancel its CTF agreement, and duly inform the IECEE Secretariat.

# NCB management of CTF Stage

The NCB has the responsibility for adjusting the Stage of the CTF as may be necessary, if any of the organizational changes mentioned in sub-clause 10.4 occur.

# Relationships with multiple NCBs

**14.1** A CTF shall be permitted to operate in the IECEE with more than one NCB in the same category.

**14.2** A CTF shall not be permitted to submit test data for the same product model to more than one NCB for issuance of a CBTC in the same category.

Note: The same product model may be submitted to different NCBs for different categories, such as OFF and EMC.

**14.3** Each NCB shall fulfil its responsibilities listed in clause 5.1 independently including the decisions for the progression (change of Stage) of the CTF that are reported to IECEE.

**14.4** Each NCB involved with this CTF shall appoint a representative to the peer-assessment team.

# Agreement between the NCB and the Customer

When the NCB is satisfied that the CTF meets the requirements of this OD, a formal agreement shall be signed covering the provision of testing services by the CTF. A NCB may use its own form of agreement, but the essential elements for inclusion in such an agreement are given in [Annex A](#_Annex_A_Essential) to this OD.

# Participation in CTL Proficiency Testing Programs (PTP)

Participation of CTF in Proficiency Testing Programs is recommended at Stage 2.

At Stage 3 and 4, a CTF shall participate in the Proficiency Testing Programs arranged by the IECEE Committee of Testing Laboratories (CTL) for programs which cover test methods within the scope of the CTF.

Where a CTF operates with more than one NCB, the IECEE Secretariat informs the NCBs of the need for a coordination arrangement between the NCBs and the CTF for the purpose of administering the PTP participation of the “shared” CTF.

# Notification to the IECEE

**17.1** Agreement

An NCB shall lodge with the IECEE Secretary a sample of its standard form of agreement for the operation of a CTF, and shall advise the IECEE Secretariat of amendments to it.

Each NCB wishing to register a CTF to be accepted within the IECEE Schemes shall inform the IECEE Secretariat giving details of the agreement as outlined in [Annex A](#_Annex_A_Essential) to this OD. NCBs shall also inform the IECEE Secretariat when the reported details of the agreement change, or the agreement is cancelled.

For each CTF that has been accepted and has signed the agreement, the following information shall be reported by the NCB to the IECEE Secretariat:

1. date of the agreement
2. Customer’s name and address of the headquarters
3. name and address of each accepted CTF
4. Products, Standards, and/or Tests covered by the agreement
5. Contact person (First name, Last name and email address)

For the format of the reporting to IECEE secretariat use Annex C1.

**17.2** Change of Stage is reported to the IECEE secretariat and shall be reflected either by a new agreement or by an amendment to the existing agreement.

**17.3** At Stages 3 and 4, each NCB shall submit an annual summary report to the IECEE Secretariat tabulating the assessment dates of the CTF.

For the format of the reporting to IECEE secretariat use [Annex C](#_Annex_C2_Supervision)2.

**17.4** At Stage 4, assessment and re-assessment reports shall be submitted to the IECEE secretariat immediately after the assessment, with all NCRs. The time limits for resolution of the NCRs are the same as those for the CBTLs, as per IECEE 02-3.

**17.5** The IECEE Secretariat shall keep a register of CTFs duly updated giving details of CTFs accepted within the IECEE Schemes and operating in accordance with this OD, and for Stages 3 and 4, showing for each CTF the date of the last assessment.

# Confidentiality of CTF Assessment Report

CTF assessment report shall be considered confidential and proprietary information.

A Stage 4 CTF may request the IECEE Secretariat to provide an endorsed official version of the CTF assessment report for submission to the accepting NCB. The accepting NCB may ask the IECEE Secretariat to confirm the validity of this Assessment Report (AR).

Each NCB shall provide to the Peer Assessment Team, on request, the completed Initial Assessment (IAR), Reassessment (RAR) and other Assessment (AR) Reports (scope extensions, relocations, etc.), utilizing the OD-2025-A or OD-2025-B report forms, in accordance with the rules and procedures.

Records of CTF activity by NCB and CBTL for all stages

NCB and CBTL shall maintain the following records of their CTF activities, as required by this OD.

* IAR
* Records of on-going visits including training and resolution of shortcomings
* RAR, RLAR
* Progression decisions

For those purposes, OD-2025-A and OD-2025-B can be complemented with any other records.

Records shall be maintained for a minimum of ten years.

The documentation shall be made available by the NCB for review, and for scrutiny at any subsequent IECEE Scheme assessment.

1. Essential contents of the formal agreement between Customer,
NCB and where applicable a CBTL

**A.1.** The agreement shall cover the CTF rules and procedures according to the applicable IECEE clauses and Operational Documents approved by the CMC of the IECEE Schemes.

**A.2.** The applicable rules of the NCB shall be included or referred to in the agreement.

**A.3.** The customer facilities and services, product categories and types, standards and/or parts of standards shall be clearly specified. This implies that the agreement shall be updated every time changes occur in these respects.

**A.4.** The customer shall inform the NCB about changes in the facilities covered by the agreement.

**A.5.** The customer shall give access for duly qualified experts from the NCB to the premises covered by the agreement at any time during working hours without appointment and shall provide all information requested by the NCB representative relating to the operation of the CTF.

**A.6.** The NCB shall be entitled to obtain samples for following up and comparison testing purposes

**A.7.** The NCB shall keep the customer informed about decisions and recommendations relevant to the operations covered by the agreement, and shall provide the relevant CTL decisions and the relevant harmonized TRFs. The customer shall keep this information as controlled documentation and follow it in the operations covered by the agreement. However, the customer himself has the responsibility to follow and to keep himself well informed of the development of the relevant standards.

**A.8.** The operations according to the agreement shall be covered by the same confidentiality rules as for the other operations of the NCB. Confidentiality shall be observed also after termination of the agreement

**A.9.** It shall be made clear that the agreement and its application does in no way exempt the customer from the full and final responsibility for the products which are marketed after testing under the CTF procedure.

**A.10.** It shall be stated that the customer may not use its status as a CTF for promotional or advertising purposes.

**A.11.** There shall be a termination clause in the agreement covering both the normal routine with a stipulated time for notice by either party, or those measures which may be necessary if the customer does not fulfil the basic conditions (immediate termination).

**A.12.** The NCB/CBTL shall have access to the laboratory for the purpose of initial assessment and all subsequent assessments.

1. Third Party utilization of Customer’s Testing Facilities

| Process | **Stage 1**Full Testing by CBTL or LTR | **Stage 2**Witnessing 100% of Each Test Program | **Stage 3**Witnessing Selected Parts of Each Test Program | **Stage 4**Witnessing Selected Parts of Selected Test Programs |
| --- | --- | --- | --- | --- |
| Product evaluation Process elements at TL | 100% of each test program carried out at CTF | 100% of each test program carried out at CTF | 100% of each test program carried out at CTF | Selected parts of selected test programs carried out at CTF |
| Checking the test set-up, instrumentation and calibration | CBTL or LTR | NCB, CBTL or LTR | NCB, CBTL or LTR | NCB, CBTL or LTR |
| Monitoring the conduct of the tests and witnessing the acquisition of data | Not applicable | NCB, CBTL or LTR | NCB, CBTL or LTR | NCB, CBTL or LTR |
| Confirming through objective evidence that specified requirements have been fulfilled | CBTL or LTR | NCB, CBTL or LTR | NCB, CBTL or LTR | NCB, CBTL or LTR |
| Preliminary constructional review | CBTL or LTR | NCB, CBTL or LTR | NCB, CBTL or LTR/CTF | CTF |
| Sample selection | CBTL or LTR | NCB, CBTL or LTR | NCB, CBTL or LTR/CTF | CTF |
| Requesting/preparing a test program and data sheets | CBTL or LTR | NCB, CBTL or LTR | NCB, CBTL or LTR/CTF | CTF |
| Approving the test program (including, if applicable, NDs, SNCs, and Group Differences) | NCB or, by delegation, CBTL or LTR | NCB or, by delegation, CBTL or LTR | NCB or, by delegation, CBTL or LTR | NCB or, by delegation, CBTL or LTR |
| Providing a test program to the CTF | CBTL or LTR | NCB, CBTL or LTR | Not applicable | Not applicable |
| Testing and test data acquisition | CBTL or LTR | NCB, CBTL or LTR | NCB, CBTL or LTR/CTF | CTF |
| Review of original (raw) test data (verifying that test results were transcribed correctly) | CBTL or LTR | NCB, CBTL or LTR | NCB, CBTL or LTR/CTF | CTF |
| Preparation of CBTR, e.g.: test data, main body(checklist), photos, components, NDs, SNCs, and Group differences | CBTL or LTR | NCB, CBTL or LTR | NCB, CBTL or LTR/CTF | CTF |
| Preliminary technical review of the CBTR | CBTL or LTR | NCB, CBTL or LTR and CTF for training | CTF | CTF |
| Detailed construction analysis | CBTL or LTR | NCB, CBTL or LTR | NCB, CBTL or LTR/CTF | CTF |
| Documentation review(e.g.: deciding which standards apply, deciding where the testing is to be performed) | CBTL or LTR | NCB, CBTL or LTR | NCB, CBTL or LTR/CTF | CTF |
| *Signing of the CBTR* |
| Project handling**Tested by** | CBTL or LTR | CTF | CTF | CTF |
| Witnessing of tests**Witnessed by** | Not applicable | NCB, CBTL or LTR | NCB, CBTL or LTR | NCB, CBTL or LTR |
| Final technical review and signing of (Reviewed)**Approved by** | CBTL or LTR(not the same person who performed tests) | NCB, CBTL or LTR | NCB, CBTL or LTR | CTF |
| **Supervised by** | Not applicable | Not applicable | NCB, CBTL or LTR | NCB, CBTL or LTR |
| Independent review and signing of the CBTC | NCB | NCB | NCB | NCB |

1. 1 Agreement report to the IECEE Secretariat

|  |  |
| --- | --- |
| **Upgrade to new program** |[ ]  **New CTF client** |[ ]
| During the transition period, tick one of the MTL Program box, tick Upgrade and tick one of the CTF Program box |
| TMP |[ ]  Stage 1 |[ ]
| WMT |[ ]  Stage 2 |[ ]
| SMT |[ ]  Stage 3 |[ ]
| Upgrade to new program |[ ]  Stage 4 |[ ]

|  |  |
| --- | --- |
| **NCB** |  |
| Address |  |
| Date |   |
| Name |  |
| Signature |  |

|  |  |
| --- | --- |
| **Customer/Manufacturer** |  |
| Address |  |

|  |  |
| --- | --- |
| **Customer’s Test Facility /** **Manufacturer’s Test Laboratory** |  |
| Address |  |
| Country |  |

|  |  |
| --- | --- |
| **Contact Person****(Last name, first name and email)** |  |

|  |  |  |  |
| --- | --- | --- | --- |
| Date of initial agreement |  | Date of latest revision of agreement |  |

**Standards / Tests covered by the agreement**

|  |  |
| --- | --- |
| Standard | Details |
|  |  |
|  |  |
|  |  |
|  |  |
|  |  |

Note: For clarity and consistency, use the following terms in the Details column:

“All clauses” – where the MTL/CTF is accepted for all tests under a standard, or

“All clauses except …” (list the exceptions), or

“Accepted clauses…” (list the accepted clauses)

1. 2 Activity report to the IECEE Secretariat

|  |  |
| --- | --- |
| Year |  |
| Program(Valid during the Transition Period) | [ ]  CTF [ ]  MTL |

|  |  |
| --- | --- |
| **NCB** |  |
| Report n° |  |
| Manufacturer |  |
| Date |   |
| CTF |  |
| Signature |  |
| Number of CB Test Reports issued |  |

|  |  |  |
| --- | --- | --- |
| Date of visit | Type of activity carried out(Identify Quality and/or Technical) | Quality processes reviewed/audited |
|   |  |  |
|   |  |  |
|   |  |  |
|   |  |  |
|   |  |  |
|   |  |  |
|   |  |  |

1. Transition process from MTL program to CTF Program
	1. Principles

**Principle 1**

All manufacturers’ testing laboratories presently listed under the IECEE MTL Program are entitled to move from their present MTL status to the closest corresponding Stage in CTF Program, provided the compliance with the CTF requirements is demonstrated.

**Principle 2**

During a transition period defined below, a TL can maintain its status in both the MTL and the CTF Programs in parallel.

**Principle 3**

A transition period of three (3) years is proposed to accomplish transition from coexisting programs (MTLs/CTFs) to CTF program only.

**Principle 4**

Assessments based on appropriate CTF criteria only are also valid and applicable for qualification of a Manufacturer for the current MTL Programs.

**Principle 5**

Any MTL may be qualified to the closest CTF status after full compliance to CTF criteria has been demonstrated through the use of OD-2025-A or OD-2025-B.

**Principle 6**

During the transition, a Customer’s TL at CTF Stage 3 or 4 can request acceptance for the TMP/WMT status as long as it can demonstrate compliance to the TMP/WMT requirements.

It will be the responsibility of the NCB to ensure compliance to OD-2028 or OD-2029.

A Customer’s TL at Stage 1 or 2 can be granted automatically the status of TMP or WMT respectively.

* 1. Transition Process

Steps to move from MTLs to CTF

1. Application is made by the “Manufacturer” listed in OD-2019
2. The application is addressed to its NCB(s)
3. The standard or part of standards are a part of the application
4. Depending on their actual status (TMP/WMT/SMT) each NCB in charge has to conduct the necessary review to establish the gap between the actual status/scope and the closest one in CTF
5. Each NCB conducts the IA, fills the IAR using the relevant section and parts of OD-2025-A or OD-2025-B, and completes its report. Where appropriate, the Peer-Assessment is required and conducted. Upon positive conclusion, the new status is granted. During the transition period, previous MTL status can be maintained in parallel
6. Each NCB in accordance with clause 17 makes the necessary declaration to the IECEE Secretariat
7. IECEE Secretariat makes the necessary publication on the website



INTERNATIONAL IEC SYSTEM OF CONFORMITY ASSESSMENT

ELECTROTECHNICAL SCHEMES FOR ELECTROTECHNICAL

COMMISSION EQUIPMENT AND COMPONENTS (IECEE)

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