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CONFORMITY ASSESSMENT PUBLICATION

**IEC Conformity Assessment Systems –
Basic Rules**

INTERNATIONAL
ELECTROTECHNICAL
COMMISSION

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FOREWORD

This publication governs the corporate and administrative structure of the IEC Systems of Conformity Assessment.

This edition 2.0 supersedes edition 1.0 published in 2016.

This publication has been prepared and approved by the IEC Conformity Assessment Board (CAB) with input from the IEC Conformity Assessment Systems under its purview.

Each of the annexes to this publication is normative.

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

Document(s)	Decision(s)
CAB/1171B/RM, CAB/1170/DL	CAB Decision 33/7
CAB/1230A/RM, CAB/1221/DL, CAB/1195/R	CAB Decision 34/9
CAB/1282A/RM, CAB/1281A/DL, CAB/1273/DC	CAB Decision 35/14
CAB/1342A/RM, CAB/1341/DL, CAB/1309A/R	CAB Decision 36/10
CAB/1471A/RM, CAB/1464A/DL	CAB Decision 38/8
CAB/1490/DV, CAB/1490A/RV	CAB Decision 39/03
CAB/1531A/RM, CAB/1530/DL	CAB Decisions 39/03 & 39/20
CAB/1619/R, CAB/1621/INF	CAB Decision 41/24

INTRODUCTION

In recognition of the need to facilitate international trade for the safe installation/maintenance of electrotechnical equipment/components, the IEC operates international Conformity Assessment (CA) Systems comprised of various Schemes that provide a global framework for independent assessment and certification of products, processes, personnel and services addressed by each of the individual IEC CA System. The IEC CA Systems seek to serve the needs of all stakeholder groups through their active participation at the member body level and, where endorsed by the member body, at the System level.

The IEC CA Systems and Schemes are intended to reduce obstacles to international trade which arise from having to meet different national certification or approval criteria and to facilitate certification or approval according to international standards/specifications. This is achieved through a combination of:

- a) mutual recognition (reciprocal acceptance) by members of the Systems using System/Scheme deliverables such as certificates, test reports, assessments, etc. or in some Systems by the implementation of quality assessment procedures;
- b) the recognition of Equipment, Components, Services and Personnel certified under the IEC CA Systems which may be recognized by System stakeholders as satisfying market requirements.

This document provides a framework and sets out the basic rules for the structure and operation of the IEC CA Systems. Since the IEC is one organization, this harmonized set of rules ensures that the Systems operate in a consistent and transparent manner while allowing flexibility for the individual Systems to serve the needs of their respective customers, providing a mechanism for easier collaboration between the Systems. The IEC recognizes that market forces are moving in a direction away from a product approach to a systems oriented approach for conformity assessment. By harmonizing the basic operational rules and using a common, modular approach to CA programmes, complexity is reduced thus allowing for the more timely establishment of new programmes and Systems to meet the needs of various stakeholders. This harmonization also provides an opportunity to promote the use of existing, and proven, best practices across the IEC CA Systems.

IEC Conformity Assessment Systems – Basic Rules

1 Title

These Basic Rules apply to all Conformity Assessment Systems operating within the IEC.

Current IEC Conformity Assessment Systems (IEC CA Systems) are identified in Annex A.

2 Object

Taking into account the object of the International Electrotechnical Commission (IEC) as given in Article 2 of the IEC Statutes, the particular object of an IEC CA System, operated under the authority of the IEC in conformity with the Statutes, is to facilitate international trade by providing a global framework for impartial third-party conformity assessment and certification of equipment, services, personnel and other related activities, encompassing the concept of mutual recognition.

The CA Systems operate and administer a peer assessment programme to qualify the CA entities (e.g., Certification Bodies, Test Laboratories, Inspection Bodies) to achieve a high level of confidence amongst its members and stakeholders and to ensure the highest acceptance in various countries and regions.

3 Scope of IEC CA System

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

The scopes of the current IEC CA Systems are detailed in Annex A.

4 Governing documents

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

- a) the Statutes of the IEC;
- b) the Rules of Procedure of the IEC;
- c) the ISO/IEC Directives;
- d) IEC/CAB Conformity Assessment Policy;
- e) the IEC CA Systems Basic Rules (IEC CA 01) which define the principles of the CA Systems and which are approved by the CAB;
- f) any CA System Supplements to IEC CA 01 as approved by the CAB. The CA System Supplement shall reference IEC CA 01 and shall contain clauses to supplement or modify the corresponding clauses in IEC CA 01 to cater to any unique aspect of a CA System.

NOTE 1 The naming convention for the CA System Supplement shall be as follows: IECEE 01-S, IECEx 01-S, IECQ 01-S and IECRE 01-S.

NOTE 2 The combination of IEC CA 01 and the CA System Supplement constitutes the Basic Rules of the respective CA System.

- g) the Rules of Procedure which define the working procedures of the CA System and its Schemes. The Rules of Procedure are prepared and approved by the CA System's Management Committee (MC) and endorsed by the CAB to ensure that the Rules of Procedure of the CA Systems and Schemes are consistent with the IEC Conformity Assessment Policy and with the IEC Statutes and Rules of Procedure.

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