



CONFORMITY ASSESSMENT PUBLICATION

Vademecum for members of CAB and interested stakeholders





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INTERNATIONAL
ELECTROTECHNICAL
COMMISSION

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INTERNATIONAL ELECTROTECHNICAL COMMISSION

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FOREWORD

This edition 2.0 supersedes edition 1.0 published in 2016.

This new edition includes addition of Clause 3.7, editorial changes and revisions to links in Clauses 4, 7.2 and 7.4.

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

Document(s)	Decision(s)
CAB/1375A/DC, CAB/1568/R, CAB/1569/DV CAB/1597/DV, CAB/1597A/RV CAB/1676/R, CAB/1677/DV	CAB Decision 37/3, CAB Decision 39/16 CAB Decision 40/7 CAB Decision 41/3 CAB Decision 42/4

Vademecum for members of CAB and interested stakeholders

1 Introduction

1.1 At the request of the IEC Conformity Assessment Board (CAB), this IEC CAB Vademecum has been prepared. Its purpose is to help new CAB Members become familiar with CAB operations and to provide guidance for members and interested stakeholders.

1.2 The Vademecum covers CAB governance, roles and responsibilities, infrastructure and operation used by the CAB and support members to carry out their responsibilities. This Vademecum is a reference guide and does not supercede or replace any rules, policy or any referenced materials.

1.3 It was also the intention of the CAB that the Vademecum be maintained as a living document and that it be reviewed and updated on a periodic basis by CAB.

2 The International Electrotechnical Commission (IEC)

2.1 Millions of devices that contain electronics, and use or produce electricity, rely on IEC International Standards and Conformity Assessment Systems to perform, fit and work safely together.

2.2 The International Electrotechnical Commission (IEC) is the world's leading organization that prepares and publishes International Standards for all electrical, electronic and related technologies. Close to 20 000 experts from industry, commerce, government, test and research labs, academia and consumer groups participate in IEC Standardization work.

2.3 The IEC CA (Conformity Assessment) Systems – IECEE, IECEX, IECQ and IECRE – each cover a dedicated segment of electrotechnology. Their ultimate objective is to facilitate global product acceptance by means of one test, one certification and, when appropriate, one mark valid in all markets.

Each of the Systems offers CA Schemes based upon IEC International Standards and other specifications when approved by the CAB (Conformity Assessment Board).

2.4 The management structure of the IEC consists of a series of boards and Committees established to perform the work of the IEC.

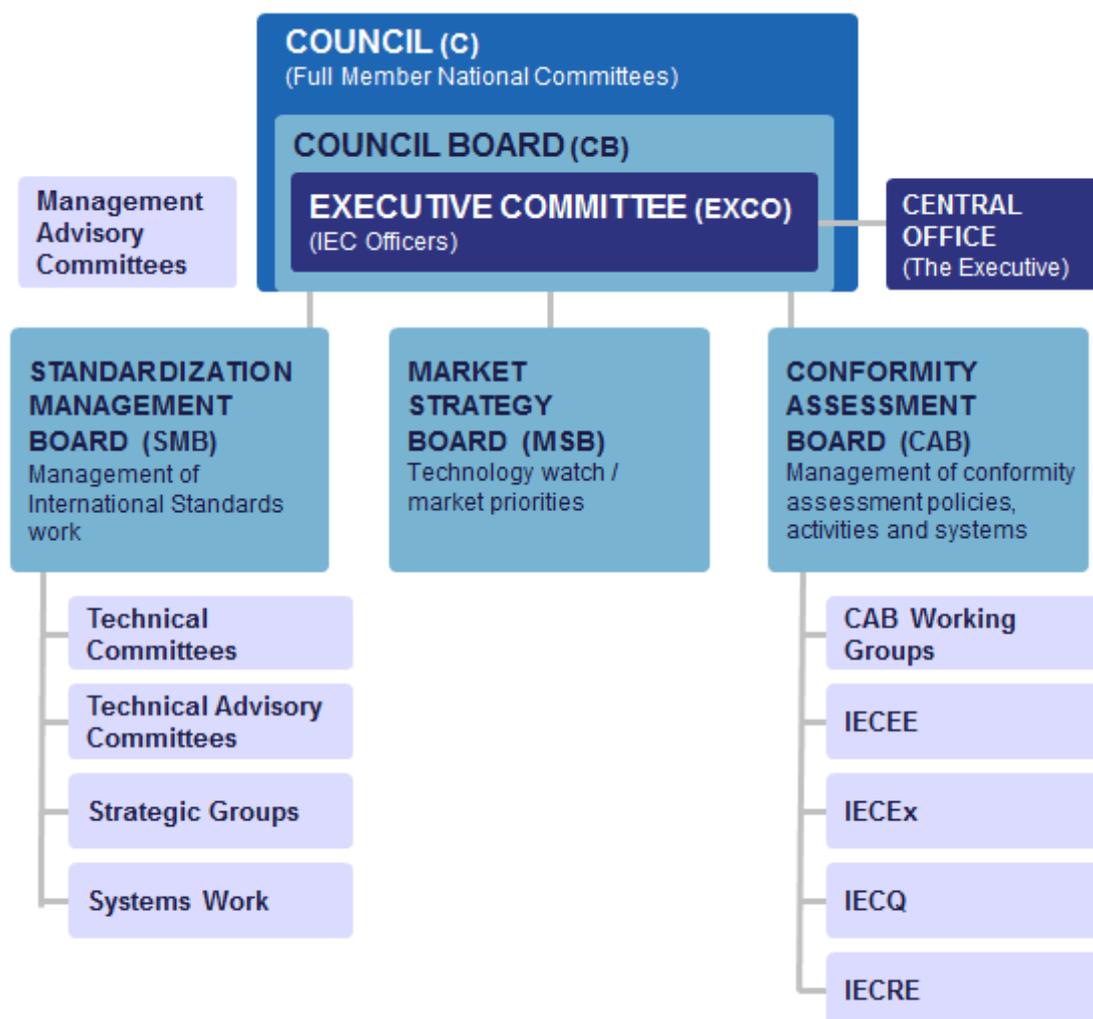


Figure 1 – IEC Management Structure

3 IEC Conformity Assessment Board (CAB)

3.1 *“In recognition of the need for a focal point for conformity assessment activities in the IEC, the CAB was set up by Council in Dresden in 1996 to be responsible for the overall management of conformity assessment activities . . . the principles governing the work of the CAB i.e. to act as a single co-ordinated contact point for high-level negotiations with other international and regional conformity assessment bodies and to achieve a faster more proactive approach to market-place needs. These principles were immediately taken up by the CAB in the development of its strategic policy.”*¹

3.2 The Conformity Assessment Board (CAB), is established by the IEC [Statutes and Rules of Procedure Article 12](#) (last revised 2017-09-01):

“The CAB is responsible for the overall management of the conformity assessment activities of the Commission and consists of:

- a Chairman (without vote);
- fifteen individual members appointed or elected by the Council and their alternates appointed by the relevant National Committees in accordance with the provisions of Clause 12 of the Rules of Procedure;

¹ Excerpt from CAB Report to Council Board of January 1998

- the Chairman and Secretary (without vote) of each conformity assessment system and stand-alone scheme of the Commission;
- the Treasurer (ex officio, without vote);
- the General Secretary (ex officio, without vote).”

NOTE The IEC Statutes and Rules of Procedure consists of Statutes identified as Articles (on the left hand side) and Rules of Procedures identified as Clauses (the right hand side).

3.3 *Statutes and Rules of Procedure Clause 12* establishes the structure and operation of the CAB. Relevant areas of concern to the CAB include:

- Membership (12.1)
- Election Procedure (12.2)
- Meetings (12.3)
- Voting (12.4).

3.4 The responsibilities of the CAB are detailed in *Statutes and Rules of Procedure Appendix 2*.

3.4 The essential criteria for members are detailed in *Statutes and Rules of Procedure Appendix 3*.

3.5 The working language of the CAB shall be English and all administrative communication shall be in English only (*Statutes and Rules of Procedure Clause 20*).

3.6 All decisions of the CAB are reported to the Council Board (*Statutes and Rules of Procedure Article 12*).

3.7 In support of its work, the CAB publishes a series of Standing Documents that are located on the [CAB homepage](#).

4 CAB Governance Documents

CAB Members should be familiar with the following documents related to the operation of conformity assessment work within the IEC and serve as a hierarchy for governance (*IEC CA 01 Clause 4*):

- the [Statutes of the IEC](#);
- the [Rules of Procedures of the IEC](#);
- the [ISO/IEC Directives](#);
- [CAB Policy for IEC Conformity Assessment](#) and subsequent [CAB Decisions](#);
- the IEC CA Systems Basic Rules (*IEC CA 01*);
- any IEC CA System Supplements to the IEC CA System Basic Rules;
- IEC EE 01-S Ed. 1.0, IEC Ex 01-S (publication pending), IEC RE 01-S Ed. 1.0, IEC Q 01-S (publication pending).

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

5 CAB Committees / Working Groups

5.1 The CAB may establish time-limited ad hoc / working groups or long-term committees for specific and defined tasks ([Statutes and Rules of Procedure Appendix 2, Item 14](#)). A current list of [CAB Working Groups](#) along with their assigned task descriptions are available online.

6 Tools

6.1 Collaboration Tools

[IEC Collaboration Tools](#) is an IT password protected location where documents can be centrally stored and utilized. Access to IEC Collaboration Tools is restricted based on the level of participation.

CAB sub-groups will often have a “room” opened in Collaborations Tools. Documents placed into collaboration tools can be of any type and/or format. Such documents are usually working documents for CAB Working Groups and Committees.

Details related to the use of the IEC Collaboration Tools can be found in the [IEC Collaboration Tools Guide](#).

6.2 Technical Server

The [IEC Technical Server](#) allows you to access IEC CAB documents for which you have permission to view, download, comment and/or vote on them. Details related to the use of the IEC Technical Server can be found in the [IEC Technical Server User Manual](#).

6.3 Web Conferencing

The IEC has selected GoToMeeting as its preferred web conferencing tool. Meeting spaces may be established at the request of the CAB Secretary. Details related to the use of the GoToMeeting tool can be found in the [GoToMeeting Attendee Guide](#).

7 Documents

7.1 Types

7.1.1 CAB

A standardized naming convention is used for CAB documents. They are given a designation in the form CAB/####V/TT where:

= a unique numerical value

V = a unique alphabetic character version A, B, C, etc (first version has no letter)

TT = type of document

Type (TT)	Contents	Example
CC	Compilation of Comments – not commonly used in CAB	–
DA	Draft Agenda – always several versions for a CAB meeting	CAB/920/DA, CAB/920A/DA, CAB/920B/DA

Type (TT)	Contents	Example
DC	Document for Comments – requests comments for modification of the document or for discussion at a subsequent meeting	CAB/874/DC
DL	Decision List – decisions made by correspondence since the last CAB meeting and those made at the CAB meeting	CAB/907/DL
DV	Document for Vote – vote by correspondence – can be for financial documents (annual budgets), CAB sub-group ToR, CAB sub-group membership, etc – can also request comments	CAB/880/DV
INF	Document for information	CAB/939/INF
MTG	Meeting document – groups a series of presentations made, documents presented during a meeting	CAB/942/MTG
R	Report – can be from a CAB sub-group, IEC CA System, external body reporting their activities to the CAB, etc	CAB/910/R
RM	Report on Meeting – report of a CAB meeting	CAB/909/RM, CAB/909A/RM
RV	Report on Voting – issued after DV's set deadline	CAB/880A/RV

On the cover page is an item titled ACTION, which describes the required action and by whom it should be taken.

7.1.2 Administrative Circular (AC)

[Administrative Circulars \(ACs\)](#) are documents issued from the office of the IEC General Secretary to convey IEC-specific rules to the IEC community.

7.1.3 CABPUB

The IEC, with permanent involvement of experts from the IEC and its CA Systems, along with [ISO](#) jointly develop and publish a full series of international standards specifying how conformity assessment should be carried out. These standards in the ISO/IEC 17000 series, as well as a number of ISO/IEC Guides, are contained in what is familiarly called the [CASCO Toolbox](#).

Documents circulated as CABPUB are in various stages of development (new work item proposals (NP), Committee Drafts (CD), Committee Draft for Vote (CDV) Final Draft International Standard (FDIS), results of any of these votes). [CABPUB/83/INF](#) (authentication required) describes the current CABPUB process as it relates to CAB and states the following:

These CABPUB documents are circulated to CAB with a CABPUB coverpage.

7.2 Circulation

CAB documents are circulated in accordance with CAB timetables and deadlines ([see 7.3](#)). "CAB documents are made available to all IEC National Committees, except where the CAB Chairman decides to provide them to CAB members and alternates only."²

² IEC Policy

7.3 Timetable / Deadlines

According to *CAB Decision 36/15*, the following operational timeline applies:

Document or action		CAB meeting Timeline	
		Before	After
Preliminary draft agenda (DA)	Circulation	10 weeks	
Documents requiring a decision, including proposals, documents for approval, CA System & WG reports	Submission	9 weeks	
	Circulation	8 weeks	
Other documents (documents not requiring a decision), eg: WG progress reports	Submission	7 weeks	
	Circulation	6 weeks	
Preliminary Linked DA	Circulation	4 weeks	
Comments to appear in the linked DA	Submission	3 weeks	
Presentations for informational items	Submission	3 weeks	
Final Linked DA	Circulation	2 weeks	
Unconfirmed minutes and Action Items document	Circulation		4 weeks
Unconfirmed minutes comments	Submission		8 weeks
Confirmed minutes	Circulation		9 weeks

NOTE 1 Submission refers to the action of sending relevant documents to the CAB Secretariat by the responsible persons.

NOTE 2 Circulation refers to the action of distribution of relevant documents to the required recipients by the CAB Secretariat.

On the cover page of circulated documents is an item titled ACTION, which describes the required action and by whom it should be taken.

7.4 Decisions

A standardized naming convention is used for [CAB Decisions](#). They are given a designation in the form MM/NN – Title:

- MM = the meeting number
- NN = the decision number at the meeting
- Title = the title of the decision
- Text = the text of the decision

Decisions taken at CAB meetings are numbered in increasing order in association with increasing order of their respective agenda items.

Decisions taken between meetings will be grouped into an agenda item of the next CAB meeting. This item will normally be treated as a consent agenda item. Their numbering will follow the same principle as for other decisions taken at a CAB meeting, with the exception that at the end of the title, the following text will be added:

(approved by correspondence)

8 Conformity Assessment Systems and Stand-Alone Schemes

8.1 Per [Statutes and Rules of Procedure Article 13](#), the conformity assessment work of the Commission is carried out by conformity assessment Systems or stand-alone schemes,

each having a different scope of activity as decided by the Conformity Assessment Board (CAB). The CA Systems or stand-alone schemes report to the CAB.

8.2 Currently approved Conformity Assessment Systems and Stand-Alone Schemes include:

- IEC System for Conformity Assessment Schemes for Electrotechnical Equipment and Components ([IECEE](#))
- IEC System for Certification to Standards Relating to Equipment for Use in Explosive Atmospheres ([IECEX](#))
- IEC System for Certification to Standards Relating to Equipment for Use In Renewable Energy Applications ([IECRE](#))
- IEC Quality Assessment System for Electronic Components ([IECQ](#))

8.3 Rules related to Conformity Assessment Systems and Schemes are governed by the ***Statutes and Rules of Procedure Clause 13*** and require:

- CAB approval of Basic Rules IEC CA 01 and System Supplements
- CAB endorsement of System and Scheme Rules of Procedure

NOTE Endorsement is the act of ensuring consistency with [governance documents](#)

8.4 The management of the operational work is the responsibility of each CA System or stand-alone scheme (***Statutes and Rules of Procedure Appendix 2***).

9 Reference Links

- [IEC](#)
- [IEC Code of Conduct](#)
- [IEC Conformity Assessment Board \(CAB\)](#)
 - [CAB Technical Server](#)
 - [Collaboration Tools](#)
- Guides for use of electronic media:
 - [IEC Collaboration Tools Guide](#)
 - [GoTo Meeting Guide](#)

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