IEC System for Certification to Standards relating to Equipment for use in Renewable Energy applications (IECRE System)

Rules of Procedure
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FOREWORD

This publication has been prepared by the IECRE for approval by the IEC Conformity Assessment Board (CAB).

The annexes to this publication are normative.

The text of this publication is based on the following document(s):

<table>
<thead>
<tr>
<th>Document</th>
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<tr>
<td>REMC/964/DV</td>
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Document Owner

REMC WG 001

History of changes

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<td>2018-03-01</td>
<td>The following clauses and sub-clauses have been modified: Contents, Forward, Introduction, 1, 2, 3, 4, 4.1.1, 4.1.3, 4.1.4, 4.1.5, 4.2, 4.3, 4.4, 4.5, 5.1, 5.2, 6.1.1, 6.1.8, 6.2.1, 6.2.4, 6.2.5.3, 6.3, 6.4, 7.1, 8.1, 8.1.1, 8.1.2, 8.1.5, 8.1.6, 8.1.7, 8.1.9, 8.1.10, 8.1.11, 8.2, 8.2.1, 8.2.2, 8.2.5, 8.2.6, 8.2.7, 8.2.9, 8.2.10, 8.2.11, 8.3, 8.4, Annex B</td>
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<td>Added RECTF, update of RECTF acceptance, change from OMC to SWG, including the following clauses and sub-clauses: Contents, Introduction, 4, 4.1, 4.1.1, 4.1.2, 4.1.3, 4.1.5, 4.2, 4.3, 4.4, 4.5, 5.1, 6.1.1, 6.1.3, 6.2.1, 6.2.2, 7.2.3, 8.1, 8.1.1, 8.1.5, 8.1.6, 8.2.5, 8.2.6, 8.3.5, 8.3.6, 8.4, 8.4.1, 8.4.2, 8.4.3, 8.4.4, 8.4.5, 8.4.6, 8.4.7, 8.4.8, 8.4.9, 8.4.10, 8.4.11, 8.4.12, 8.4.13, Annex A, Annex B</td>
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<td>The following clauses and sub-clauses have been modified or added: Normative References, 4.2, 4.3, 7.1</td>
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<td>The following clauses and sub-clauses have been modified: 8.1, 8.2, 8.3, 8.4, Annex B, Annex C</td>
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<td>2023-11-14</td>
<td>The following clauses and sub-clauses have been created or modified, including removal of content to support the creation of IECRE 02-1 on Peer Assessment: Contents, 2, 4, 4.1, 4.2, 5.1, 6.2, 6.3, 6.4, 6.5, 7.2, 7.3, 8, 8.1, 8.2, 8.3, 8.4, Annex A, Annex B, Annex C</td>
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INTRODUCTION

IECRE System objective

The IEC System for Certification to Standards relating to Equipment for use in Renewable Energy applications (IECRE) operates Schemes with the aim of facilitating international trade by promoting and simplifying certification and approval at the national level through mutual recognition of test and inspection results. Renewable Energy Test Laboratories (RETLs) and Renewable Energy Customer Test Facilities (RECTFs) assessment requirements are sufficient for Renewable Energy Certification Bodies (RECBs) to accept Test Reports from RETLs or RECTFs. Renewable Energy Inspection Bodies (REIBs) assessment requirements are sufficient for RECBs to accept Inspection Reports from REIBs.

The Schemes shall be governed by the IECRE Management Committee (REMC), whose responsibilities in this respect are defined in the Basic Rules of the IECRE, as given in Publication IEC CA 01 & IECRE 01-S (the combination of which is referred to as the Basic Rules throughout this document). The IECRE System objectives, details and membership information are provided in the Basic Rules and at www.iecre.org.

The approved Sectors, given in the Basic Rules and on the IECRE website, are operated under the REMC by Sector Working Groups (SWGs) defined herein.
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1 Scope

The IECRE System includes assessment and certification of equipment and services covered by IEC and ISO International Standards and publications for Renewable Energy applications as are proposed by its IECRE Management Committee (REMC) and approved by the IEC Conformity Assessment Board (CAB), taking into account that several components or equipment are covered by other IEC CA systems, like IECEE.

Sectors approved to operate under the IECRE System are listed on the IECRE website (www.iecre.org) and in the Basic Rules.

2 Normative References

The following publications contain provisions which, through reference in this text, constitute provisions of these Rules of Procedure. The IECRE Management Committee (REMC) shall decide the timetable for the introduction of new publications or revised editions of existing publications. Unless otherwise identified, the most current edition shall be used.

IEC CA 01, IEC Conformity Assessment Systems – Basic Rules [Including IECRE Supplement: IECRE 01-S]
IECRE 02-1, Particular Rules of Procedure – Peer Assessment Programme
IECRE Definitions, Acronyms, Terms and Definitions
ISO/IEC Guide 2, Standardization and related activities – General vocabulary
ISO/IEC 17000, Conformity Assessment: Vocabulary and general principles
ISO/IEC 17011, General requirements for accreditation bodies accrediting conformity assessment bodies
ISO/IEC 17020, General criteria for the operation of various types of bodies performing inspection
ISO/IEC 17021, Conformity assessment – Requirements for bodies providing audit and certification of management systems
ISO/IEC 17024, Conformity Assessment – General requirements for bodies operating certification of persons
ISO/IEC 17025, General requirements for the competence of testing and calibration laboratories.
ISO/IEC 17040, Conformity assessment – General requirements for peer assessment of conformity assessment bodies and accreditation
ISO/IEC 17043, Conformity assessment – General requirements for proficiency testing
ISO/IEC 17065, Conformity Assessment – Requirements for bodies certifying products, processes and services
ISO 9001, Quality management systems – Requirements

3 Definitions and Abbreviations

Please see IECRE Publication “IECRE Definitions - Acronyms, Terms and Definitions”.

4 Organizational Structure

The organization structure of the IECRE is outlined in the Basic Rules. The Rules of Procedure define the Sector Working Groups below.

4.1 Sector Working Groups

IECRE operates in the Sectors identified on the IECRE website. All Sector Working Groups (SWGs) report directly to the REMC and have a defined Terms of Reference as seen in Annex A.
The REMC has created, and can create, SWGs to manage the special requirements of the Sectors and to prepare rules documents and proposals for REMC decision.

SWGs may propose to the REMC for approval the creations of Stakeholder Groups (SGs) to deal with specific areas in a continuous time horizon or Task Forces (TFs) for a specific period of time or for specific projects.

4.1.1 Membership

Members of an SWG(s) shall be experts nominated by the IECRE Member Bodies whom have declared desired participation in the respective Sector(s) to the Secretariat.

Additionally, Chairs and Secretaries of TCs with standards accepted for use within the IECRE System are members.

Dues are defined in OD-001.

4.1.2 Sector Working Group Leadership

a) The Convener;
b) The immediate past Convener;
c) The Co-Convener; and
d) The IECRE Executive Secretary.

The Convener of each Sector Working Group (SWG) established by the REMC is appointed by the REMC for a period of three years, upon nomination to the REMC. They are eligible for re-appointment in the same office for one further period of three years. If at the conclusion of a second or subsequent term there are no new candidates nominated for election to the position, the SWG may by specific resolution, outlining the circumstances, propose to the REMC that the incumbent Convener be appointed to a further term of three years in that position.

The Convener shall be responsible to the REMC and shall ensure that the affairs concerning the Sector are conducted in accordance with the agreed Rules.

The principal duties of the SWG Convener are to:

a) convene meetings of the IECRE established SWG;
b) preside over the meetings;
c) decide upon the agendas for the meetings;
d) act on behalf of the SWG between its meetings; and
e) report on behalf of the SWG to the REMC.

The Convener may attend all meetings within the Sector.

In the event of the Convener’s being unable to fulfil his duties, the Co-Convener shall deputize for them.

The Co-Convener of each SWG established by the REMC is appointed for a period of three years by the REMC, on the nomination of the REMC established SWG. They are eligible for re-appointment in the same office for one further period of three years. If at the conclusion of a second or subsequent term there are no new candidates nominated for election to the position, the SWG may by specific resolution, outlining the circumstances, propose to the REMC that the incumbent Co-Convener be appointed to a further term of three years in that position.

In the absence of the SWG Convener, the SWG Co-Convener shall act in their place.

The Convener and the Co-Convener of the SWG under the IECRE System shall take office on the first day of January of the year after the meeting of the REMC at which they have been appointed unless otherwise determined by the REMC.
4.1.3 Meetings

Meetings of the SWG shall be held as necessary.

In preparing the agenda, the SWG Convener shall, as far as possible, list all the documents related to the various items for discussion. SG and TF Conveners may attend the SWG meetings at the invitation of the Convener, as observers. Additional observers, nominated by a Member Body or invited by the Convener, may attend the SWG meetings based on host space, etc. The observers right to speak shall be determined by the SWG Convener.

SWGs may consider allowing SGs to be given a voice in general discussions and to be allowed to comment as a SG.

Draft minutes of the meetings of the SWG shall be circulated to all Members of the SWG within one month of the meeting.

The SWG provides a report on its activities at least annually to the REMC and submits proposals for approval by the REMC with regard to:

a) Modifications to the SWG Rules of Procedure;
b) The appointment of SWG Convener and Co-Convener;
c) The annual financial forecast and business plan for the SWG;
d) Proposals for extensions to the scope of the Sector Schemes; and

e) Proposals for the use of normative documents other than IEC or ISO International Standards.

4.1.4 Voting

SWGs have no voting authority. SWGs shall make recommendations for REMC approval.

Comments received on any DV or DFA shall be responded to by the relevant SG or TF.

All other voting requirements are as per the Basic Rules.

4.2 Numbering Definition

To ensure transparency and enhance harmonization in the Sectors, the following structure regarding a numbering system shall be used for all REMC and SWG SGs, as shown in Table 1.

<table>
<thead>
<tr>
<th>Title of WG</th>
<th>REMC</th>
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<tbody>
<tr>
<td>Maintenance and Development of IECRE Rules</td>
<td>WG001</td>
</tr>
<tr>
<td>Customer Testing Facilities (CTF)</td>
<td>WG003</td>
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<td>Future REMC WG</td>
<td>WG013 - WG049</td>
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<tr>
<td>Sector Working Groups</td>
<td>YY-SWG</td>
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**Stakeholder Groups SGX50-SGX59**

- Certification Bodies  SGX50
- Test Laboratories    SGX51
- Original Equipment Manufacturers SGX52
- End Users            SGX53
- Small Wind           SGX54

**Sector Specific Working Groups**

- See IECRE website for current list            WGXCC
4.3 Participation

It is the responsibility of the REMC Member Bodies to regularly review their SWG/WG/TF/SG participation and ensure that participants are actively involved in the SWG/WG/TF/SG work.

5 Requirements for Participation in the IECRE System

5.1 Participation

IECRE Certification Bodies (RECBs), IECRE Testing Laboratories (RETLs), IECRE Customer Test Facilities (RECTFs) and IECRE Inspection Bodies (REIBs) approved by the REMC in accordance with the Basic Rules may participate in the IECRE Scheme(s).

Applications from organizations seeking acceptance as RECB, RETL, RECTF or REIB for the purpose of issuing IECRE deliverables shall be endorsed by the Member Body in the IECRE participating country. Reference is made to the Basic Rules regarding country membership of the IECRE System.

It is the duty of all parties operating in the IECRE Scheme(s), including manufacturers and other organizations seeking IECRE deliverables, to conduct affairs in a professional and ethical manner that does not result in actions, misleading information or claims that may bring the IEC and/or the IECRE credibility into question.

RECBs, RETLs, RECTFs and REIBs are permitted to be independent legal entities and can participate independently in the IECRE System.

For RECTFs see also Clause 8.4.

6 Deliverables of the IECRE System

6.1 IECRE Test Reports (RETRs)

6.1.1 Overview

An RETR is prepared and issued by an RETL or RECTF. An RETR is not considered a statement of conformity but may form input to the certification process. If the RETR is to be used to produce a Conformity Statement by an RECB, the RECB shall review the RETR for conformity with the relevant Standard(s) and IECRE requirements.

6.1.2 Description of Equipment

The RETR shall contain a clear description of the RE equipment or change to already certified equipment, the name and address of the applicant and the manufacturer and the edition of the Standard, amendments, if any, and relevant national differences. The RETR shall give, as far as necessary, for each clause of the identified Standard a brief reference to the requirements and the results of tests and examinations as per the Standard. The RETR shall also contain the information necessary for identification of the RE equipment such as: type designation, ratings, description, photographs, etc.

6.1.3 Layout

The REMC may delegate the SWGs to develop and maintain standardized Test Report Forms for all Standards used in the IECRE System, for subsequent approval by the REMC. The front cover sheet of all Test Report Forms shall be common for all Sectors.

6.1.4 Issuing

RETRs are intended to be issued in support of IECRE Certificates or Conformity Statements. The RETR may include the reporting of the RE equipment testing results with declared local and/or national differences. The RETR may be used by an RECB when issuing their own local and/or national Certificate or Conformity Statement. An RETR may be issued to cover selected clauses and test results of a Standard. It is the responsibility of the RECB to ensure that they are in possession of sufficient RETRs to cover the full assessment to (a) Standard(s).
6.1.5 Restrictions
RETRs shall not be used in any form of advertising or sales promotion to ensure that the information is not misrepresented.

6.1.6 Copies
When a copy of an RETR is required, it shall be reproduced in its entirety.

6.1.7 Ensuring Conformity
The manufacturer has the ongoing responsibility to ensure that all RE equipment, for which an RETR is issued, is in accordance with the design of the certified equipment. Failure to do so, and any other misuse of the RETR, could lead to suspension or cancellation of the associated IECRE Certificate or Conformity Statement by the RECB.

6.2 IECRE Certificates

6.2.1 Overview
IECRE Product Certificates include Component, Prototype, Type, Project, and Service Certificates. Sector specific requirements for Product Certificates shall be developed by the SWGs, if necessary, for REMC approval. An IECRE Product Certificate is a document issued by an RECB to attest that specific Renewable Energy equipment was fully evaluated according to the applicable Scheme including the relevant requirements of one or more applicable Standard(s) accepted for use in the IECRE System.

6.2.2 Layout
The REMC may delegate the SWGs to develop and maintain standardized IECRE Certificate templates for all Schemes used in the IECRE System for subsequent approval by the REMC. The front cover sheet of all IECRE Certificates shall be common for all Sectors.

6.2.3 Usage of IECRE Logo Limitations
The IECRE logo shall be used on IECRE Certificates. Additional limitations are provided in Clause 7.1.

6.2.4 Suspension/Withdrawal
IECRE Certificates shall be suspended or withdrawn by the issuing RECB if:
- The IECRE Certificate is misused;
- The IECRE Certificate has been issued in error;
- The RE equipment no longer corresponds to the originally tested equipment;
- Incidents revealing serious defects in the RE equipment; or
- The holder of the IECRE Certificate requests suspension or withdrawal.

When an IECRE Certificate has been suspended or withdrawn, the IECRE Executive Secretary shall be notified as soon as possible by the issuing RECB, which shall state the reason for suspension or withdrawal. The RECB shall inform the manufacturer of the suspension or withdrawal. The IECRE Executive Secretary shall notify all RECBs participating in the IECRE System that the relevant IECRE Certificate has been suspended or withdrawn and give the reason for the action taken.

The maximum suspension time is one year. If an IECRE Certificate is suspended, it can be reinstated if the reason for suspension is rectified and the RE equipment is reaffirmed by the RECB. If the RE equipment can't be reaffirmed within one year, the IECRE Certificate shall be withdrawn.

6.2.5 Procedures for Handling IECRE Certificates

6.2.5.1 General
An application for obtaining a IECRE Certificate may be made by an applicant to any RECB accepted for the relevant Scheme. The applicant will be the holder of the IECRE Certificate.

6.2.5.2 Procedure for Obtaining a Product Certificate
The application shall be made and dealt with according to the rules of the RECB to which it is submitted. That RECB shall inform the applicant about the relevant rules and procedures for the selected Scheme and about the information needed for IECRE Certification.

If an IECRE Certificate is to be issued, the RECB shall enter the necessary data into the IECRE database. The IECRE Certificate is considered issued once this data has been entered and submitted.
The applicant may also request testing to cover national differences in countries in which the IECRE Certificate is to be used.

### 6.2.5.3 Procedure for Recognition of Product Certificates

When an applicant applies to another RECB to recognize an existing IECRE Certificate for national certification or approval of RE equipment on the basis of an IECRE Certificate, the application shall be accompanied by a copy of the IECRE Certificate together with the relevant certification documents (RETRs, Conformity Statements, Certificates from other IEC CA Systems, etc.) and, if relevant, with attached reports covering national differences and, if required by the RECB, make an RE equipment sample available.

The RECB shall evaluate the submitted IECRE Certificate regardless of the location of the issuing RECB. If the result of this evaluation is favourable, national certification or approval shall be granted by the RECB without additional evaluation and testing. However, if the IECRE Certificate does not cover declared national differences, if any, arrangements shall be made with the applicant to carry out the additional evaluation and testing. The RECB retains the right to further evaluate the RE equipment to ascertain whether or not the RE equipment complies with the relevant Standard(s). Such additional evaluation should be kept to a minimum.

Should the RECB receiving an IECRE Certificate have any questions and/or issues which may prevent the recognition by the receiving RECB, the RECB that issued the IECRE Certificate shall be contacted as soon as possible to resolve the questions and/or issues. If the RECBs involved arrive at different conclusions, the case shall be referred to the IECRE Executive Secretary.

The RECBs shall have the right to keep for reference photographs, technical documentation and RE equipment samples or, for large RE equipment, parts of such RE equipment, when required according to their rules. Such reference material shall be confidential.

### 6.2.6 Specific Requirements for Component Certificates

Specific requirements can be found in the Sector specific ODs.

### 6.2.7 Specific Requirements for Prototype Certificates

Specific requirements can be found in the Sector specific ODs.

### 6.2.8 Specific Requirements for Type Certificates

Specific requirements can be found in the Sector specific ODs.

### 6.2.9 Specific Requirements for Project Certificates

Specific requirements can be found in the Sector specific ODs.

### 6.2.10 Specific Requirements for Service Certificates

Specific requirements can be found in the Sector specific ODs.

### 6.3 Feasibility Statements

Specific requirements can be found in the Sector specific ODs.

### 6.4 Conformity Statements

Specific requirements can be found in the Sector specific ODs.

### 6.5 Inspection Reports

Specific requirements can be found in the Sector specific ODs.

### 7 Description of IECRE Operational Procedures

#### 7.1 General

The IEC, IECRE and combination IEC/IECRE logos are copyrighted and are the property of the IEC. Their use is restricted to official documents published by the IEC or the IECRE or both and shall not be reproduced or utilized in any form or by any means, electronic or mechanical, including photocopying and microfilm, without prior permission in writing from the IECRE Executive Secretary. See OD-006 for additional details on the usage of IEC/IECRE logos.
7.2 Documents

7.2.1 Operational Documents (ODs) and Administrative Documents (ADs)
See IECRE website for all REMC and Sector ODs and ADs.

7.2.2 Clarification Sheets
See IECRE website for all REMC and Sector Clarification Sheets.

7.2.3 Development and Maintenance of Operational Documents
In order to approve new documents or change any approved documents under IECRE, the following process must be adhered to the following below and shown schematically in Figure 1:

a) REMC defines scope of revision/development as an REMC decision. This may be done based on a submitted proposal for such a scope.
b) REMC WG 001 or another assigned working group or task force prepares a proposal for new or updated documents as per agreed scope, to be submitted for review and comment to REMC as well as WG001 with a review period of six weeks.
c) After inclusion of the comments (or a written argumentation as to why comments have not been taken on board), a revised document to be submitted for review and voting by REMC, with a minimum review and balloting period of six weeks. The document must refer back to the relevant REMC decision regarding the approved scope for the document or the approved changes to the document.
d) Once the proposed updated document has been approved by the REMC, it replaces the previous version as per agreed introduction date. In case of a new document, once approved by REMC, it comes into force as per agreed introduction date.

![Figure 1. Process on how to develop or maintain Operational Documents](image)

7.3 Implementation of Standards/ODs in the System and the Resulting Scope Extensions

7.3.1 General
This Clause deals with the process of the implementation of Certification Schemes and technical standards into the system. Furthermore, it describes the process how to adapt the scope of accepted bodies, namely RETLs, REIBs, RECBs, RECTFs, as well as other future accepted body categories. The visualized process can be found in Figures 2 and 3.
7.3.2 Implementation of New, or New Editions of, Standards into the System

7.3.2.1 Start

The SWGs or delegated WG/TF (the “Group”) within the sector are checking the publications of the Technical Committees (TCs) on a regular basis. In addition, any other member/participant of the IECRE system can request to add a standard to be recognized by the IECRE system. The request shall be handled by the Group.

Once there is a new (edition of a) standard identified or requested, the Group will check whether an older edition is already part of the system.

If that standard has not been part of the system, it shall be checked by the Group:

1. Is the standard applicable for use in the IECRE system?
2. Is there an overlap with other IEC conformity assessment systems (e.g. IECEE)?
To point 1. above: If the standard is not applicable, the request will not be pursued. The originator raising the request will be informed by the Convenor of the Group, and the REMC will be informed in SWG report (R document) under section B for the next REMC meeting that the request was declined.

To point 2. above: If there is an overlap of the requested standard, the request will first be discussed with the IECRE Secretariat (“IECRE SEC”), and if recommended by IECRE SEC, the request will be discussed with the other IEC conformity assessment system leadership to seek an agreement on how reference of that standard would be used by both (or multiple) IEC conformity assessment systems.

7.3.2.2 Gap Analysis

If the standard is already part of the system, a gap analysis versus the previous edition of that standard shall be established by the Group. The focus of the gap analysis is the identification of (1) whether the standard is still applicable and suitable with the existing ODs and (2) whether any change in competencies of the relevant accepted bodies is required for their accepted scope or not.

In the event that the request is for a standard that has not previously been accepted by the IECRE system, the gap analysis shall be established to identify whether the existing competencies of the bodies are generally sufficient to be able to perform conformity assessment to that standard. In addition, applicable ODs, published, in preparation, or planned shall be identified to justify whether that standard fits into the IECRE conformity assessment scheme.

Scope of gap analysis:

- Identify any gaps between existing and new standard, if applicable
- Identify any gaps between existing competencies and competencies required to meet the scope of work needed to execute a conformity assessment referencing that standard or its new/revised edition.
- Recommendation by identification of any other documents or IECRE references (e.g. ADs, ODs) that require modification
- If competencies need to be added as a result of the gap analysis, a recommendation of any additional qualification of the accepted bodies shall be formulated (e.g. document check/administrative, remote peer assessment, on-site peer assessment, technical document peer assessment).

The gap analysis is done by the Group.

After completion of the gap analysis the Process “qualification of participants” (Figure 3) is triggered.

The gap analysis will be sent to the IECRE Secretariat for publishing as an INF document. Furthermore, if modifications in other documents (e.g., OD, AD) are required, a request by the Group leader will be sent to the Convenor of the working group responsible for the document.

7.3.2.3 Publication of Standard on the IECRE Webpage

IECRE Secretariat adds the standard on the IECRE webpage after receipt of the gap analysis report. Furthermore, the new edition or the standard that has become accepted by the IECRE system will be published in news & communication on the IECRE webpage.

7.3.2.4 Modification of ODs, Template

The SWG or responsible document owner modifies the needed documents according to the gap analysis report and seeks REMC approval.

7.3.2.5 Modification of the Online Certification System

If statements or certificates of the Online Certification System (OCS) are affected, the secretariat will modify the OCS accordingly.

7.3.3 Implementation of Modified or New ODs into the System

7.3.3.1 Start

The process for how ODs are initiated and approved is described in the Rules. The “implementation process” (Figure 3) is described in the following steps.

The author of the modified or new OD is performing a gap analysis for the OD following the same approach as described in Clause 7.3.2.2 for standards. This can be done pro-actively before approval of the OD. The gap analysis will be sent to the competent Group.

7.3.3.2 Suitable Competence Area Available

After receipt of the gap analysis the SWG decides whether there is a suitable competence area within the accepted bodies (e.g. RETL, RECB).
In the event that a required competence area cannot be identified, this triggers the process “New Competence Area Needed”, which is not defined in detail so far.

If the required competence area can be identified as existing within the accepted bodies, the Group decides whether to follow the recommendation of the gap analysis report related to how the scope extension of the bodies is enabled or whether another suitable way to establish the scope extension will be pursued.

The Group sends the gap analysis report together with their recommendation to the IECRE Secretariat for publishing.

7.3.4 Scope Extension of Bodies (e.g. RETL, RECTF, REIB, RECB)

7.3.4.1 Application of Scope Extension for Accepted Bodies

If identified, and as necessary, every accepted body is entitled to submit an application for scope extension if needed.

7.3.4.2 Administrative/Document Check

If the check is only administrative, the IECRE Secretariat will check the documents and in case of positive approval will extend the scope of the body.

7.3.4.3 Peer Assessment

If a peer assessment is needed, the IECRE Secretariat starts the regular peer assessment process. Depending on the recommendations an assessment based on documents, remote assessment, or on-site assessment will be executed as per the applicable OD.

8 Bodies

The purpose of the chapter is to define the scope and purpose of bodies in IECRE. Bodies are RETLs, RECBs, REIBs and RECTFs. To be accepted as a body you shall run through the peer assessment programme as defined in IECRE 02-1.

<table>
<thead>
<tr>
<th>1&lt;sup&gt;st&lt;/sup&gt; Party</th>
<th>The OEM (Original Equipment Manufacturer) makes the “object”. Includes also the OCM (Original Component Manufacturer).</th>
</tr>
</thead>
<tbody>
<tr>
<td>2&lt;sup&gt;nd&lt;/sup&gt; Party</td>
<td>End user or their agent – the one that uses the “object”.</td>
</tr>
<tr>
<td>3&lt;sup&gt;rd&lt;/sup&gt; Party</td>
<td>Independent of OEM, OCM and End-User.</td>
</tr>
</tbody>
</table>

8.1 IECRE Test Laboratory (RETL)

A definition of the RETL can be found in IECRE Definitions. An RETL shall be a 3<sup>rd</sup> party laboratory assessed in at least one specific competence area. The RETL assessment shall be made specific for each competence area. This also means that proficiency for one specific type of test (competence area) does not imply proficiency for another specific type of test (competence area). The SWGs shall define which competence areas are relevant for the specific SWGs. Such a competence area shall be defined by reference to (or part of) an ISO/IEC standard that contains requirements on how a specific test shall be executed. In the absence of ISO/IEC standards containing specific test requirements, CAB rules for the acceptance of non-ISO/IEC standards shall be followed. The assessment shall follow the rules defined in IECRE 02-1.

8.2 IECRE Customer Test Facility (RECTF)

An RECTF is a facility covering 1<sup>st</sup> and 2<sup>nd</sup> party testing. See Table 2 above for definitions according to ISO/IEC 17000. Specific requirements for RE Customer Test Facility (RECTF) for performing tests within competence areas are defined by the IECRE scheme. The requirements shall ensure that the independency and validity of tests performed by test facilities complying with these requirements can be trusted and the resulting test reports can be used with confidence for design and certification work. The assessment shall follow the rules defined in IECRE 02-1.

8.2.1 RECTF Stages

Stage 1 (Full testing carried out by RETL)
Testing is carried out fully by the RETL personnel at the RECTF, with the RETL’s own or RECTF’s test equipment, or both. RECTF’s personnel may assist in the preparation for and in the conduct of test. RETR preparation and approval is done by the RETL.

However, the location of the RECTF shall be clearly identified in the RETR as test location.

**Stage 2 (Witnessing 100% of each test programme)**

Testing is carried out fully by the RECTF’s personnel in the presence of the RETL. Qualified witnessing staff of the RETL shall be present whenever tests are conducted, and shall supervise, check, and witness all criteria of the test execution. This includes but is not limited to:

- a. checking the test programme.
- b. checking the test set-up, instrumentation and the relevant equipment calibration.
- c. monitoring the tests and witnessing the acquisition of the data by the RECTF personnel.
- d. confirming through objective evidence that specified requirements have been fulfilled.

RETR preparation and approval is done by the RETL.

However, the location of the RECTF shall be clearly identified in the RETR as test location.

**Stage 3 (Witnessing selected parts of each test programme)**

Testing and RETR preparation is carried out by the RECTF’s personnel. Some selected parts of each test are witnessed by the RETL as per agreement between RECTF and RETL.

Qualified witnessing staff of the RETL, shall be present whenever the selected parts are conducted, and shall supervise, check, and witness all criteria of it.

The RETR is prepared by the RECTF, and approval is done by the RETL.

However, the location of the RECTF shall be clearly identified in the RETR as test location.

**Stage 4 (Witnessing of selected parts of selected test programmes)**

In this stage the entire test programme is conducted by the RECTF. Selected parts of selected test programmes as per agreement between RECTF and RETL (or RECB in stage 4 only) shall be witnessed by the RETL (or RECB in stage 4 only). Programme selection should be done on a reasonable level for the specific assessed competence area and will be outlined in OD-011 (once published).

Qualified witnessing staff of the RETL (or RECB in stage 4 only), shall be present whenever selected part/test is conducted, and shall supervise, check, and witness all criteria of the selected part/test execution.

Table 3 below depicts the various RECTF stages and the varying responsibilities of the RECTF, RETL, and RECB.
Table 3: Utilization of RECTFs during the entire testing process

<table>
<thead>
<tr>
<th>Process</th>
<th>Stage 1</th>
<th>Stage 2</th>
<th>Stage 3</th>
<th>Stage 4</th>
</tr>
</thead>
<tbody>
<tr>
<td>Facility: Process elements at test facility</td>
<td>RECTF</td>
<td>RECTF</td>
<td>RECTF</td>
<td>RECTF</td>
</tr>
<tr>
<td>/ lab (e.g. test rigs)</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Test executed and test data acquisition</td>
<td>RETL</td>
<td>RECTF</td>
<td>RECTF</td>
<td>RECTF</td>
</tr>
<tr>
<td>Project handling</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Review of original (raw) test data (verifying</td>
<td>RETL</td>
<td>RECTF</td>
<td>RECTF</td>
<td>RECTF</td>
</tr>
<tr>
<td>that the results were transcribed correctly)</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Preparation of RETR, e.g. test</td>
<td>RETL</td>
<td>RETL</td>
<td>RECTF</td>
<td>RECTF</td>
</tr>
<tr>
<td>data, analysis/postprocessing, photos,</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>documentation, etc.</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Preliminary technical review of RETR</td>
<td>RETL</td>
<td>RETL</td>
<td>RECTF</td>
<td>RECTF</td>
</tr>
<tr>
<td>Final technical review and approval of RETR</td>
<td>RETL</td>
<td>RETL</td>
<td>RETL</td>
<td>RECTF</td>
</tr>
<tr>
<td>Witnessing of specific process steps</td>
<td>N/A</td>
<td>RETL</td>
<td>RETL</td>
<td>RETL or RECB</td>
</tr>
<tr>
<td>(executed by RECTF only) done by:</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

8.3 IECRE Certification Body (RECB)
A definition of the RECB can be found in IECRE Definitions.
An RECB is a 3rd party organization that conducts conformity assessments within operating certification schemes and that has been accepted according to the IECRE Rules and which issues Certificates, and Conformity and Feasibility Statements.
The assessment shall follow the rules defined in IECRE 02-1.

8.4 IECRE Inspection Body (REIB)
A definition of the REIB can be found in IECRE Definitions.
An REIB is a 3rd party organization that conducts inspections within operating certification schemes and that has been accepted according to the IECRE Rules and which issues Inspection Reports.
The assessment shall follow the rules defined in IECRE 02-1.
Annex A – SWG Terms of Reference

Scope

1. Each Sector Working Group (SWG) shall prepare and operate international Conformity Assessment Schemes within its specified sector based on the applicable IECRE Rules and with REMC approval.

2. In operating the Schemes within their sector(s), each SWG shall involve affected stakeholders.

3. The SWG shall support the future development of its sector to provide value to stakeholders.

4. In reporting to the REMC, the duties of each SWG are to:

A.1 Schemes, Rules, Procedures and Standards

A.1.1 Identify appropriate schemes required for its sector and make recommendations for approval by REMC.

A.1.2 Develop Operational Documents specific to its sector for REMC approval.

A.1.3 Define the scope, requirements, and applicable standards to be used for each approved scheme/service/competence area for its sector.

A.2 Alignment

A.2.1 Ensure a consistent application and common understanding of interpretations of international standards, conformity assessment processes and test method procedures within its sector.

A.2.2 Ensure alignment between the Operational Documents specific to its sector with those of the IECRE.

A.2.3 Ensure a common approach to the application of IECRE Scheme Rules and Operational Documents where applicable within its sector.

A.3 Applications Regarding Conformity Assessment

A.3.1 Prepare proposals regarding applications and continued operation of conformity assessment bodies (e.g., Certification Bodies, Testing Laboratories, Customer Test Facilities), within each SWG’s sector, for approval by REMC.

A.4 Conformity Assessment

A.4.1 Ensure mutual recognition among RECBs, RETLs, RECTFs and REIBs and manage national differences within its sector.

A.4.2 Provide oversight and coordination of requirements to ensure a transparent and independent certification process for the sector.

A.4.3 Provide coordination of requirements for component certification within its sector and under other IEC systems (i.e., IECEE if appropriate).

A.4.4 Review and harmonize requests for interpretation of existing standards and the conformity assessment process used within its sector;

A.4.5 Publish results of interpretations and conclusions regarding conformity assessment and test procedures.
A.5 Stakeholder Engagement

A.5.1 Identify and encourage a balanced representation of stakeholders on the SWG reflecting its sector as required by the IECRE System.

A.5.2 Respond and discuss identified issues within its sector to stakeholders to ensure relevance and appropriate schemes to address stakeholder identified needs.

A.5.3 Respond to and provide a common understanding regarding identified concerns (i.e., risk) raised by affected stakeholders regarding the sector or the operation of the scheme within its sector.

A.6 Relationship with TCs/SCs

A.6.1 Establish liaisons with relevant TCs/SCs to increase collaboration, provide guidance, and monitor standards development within each SWG’s sector.

A.6.2 Identify changes to technical requirements necessary to operate the IECRE Schemes within each SWG’s sector and communicate these needs to the appropriate Technical Committees.

A.7 Promotion of Schemes

A.7.1 Support mutual recognition among member countries.

A.7.2 Support the promotion of the IECRE Schemes in its sector in conjunction with the REMC.

A.8 SGs & TFs

A.8.1 Propose appropriate SWG Stakeholder Groups or Task Forces for its sector to the REMC.
Annex B – Approval and assessment process for RECTF

RECTF approval process

<table>
<thead>
<tr>
<th>Candidate RECTF</th>
<th>Assessor Team</th>
<th>IECRE Executive Secretary</th>
<th>REMC</th>
</tr>
</thead>
<tbody>
<tr>
<td>Customer Test Facility (CTF)</td>
<td>Application for RECTF - including a list of relevant ODs, Defined RECTF Stage, Partnered RETL / NERC</td>
<td>Assessment team including lead assessor appointed</td>
<td>OOs with relevant requirements for assessment team</td>
</tr>
<tr>
<td></td>
<td>Application through National Member Body Application From AD-001</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Rules are fulfilled and application accepted</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>NO</td>
<td>Information</td>
<td></td>
</tr>
<tr>
<td></td>
<td>YES</td>
<td>Assessment</td>
<td>17025 Checklist OD-008</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Draft Report to be discussed and non-conformities repeated</td>
<td>Competence area OD (general document)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Final assessment report</td>
<td>RECTF specific OD (RECTF – RETL interface)</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Basic Information RECTF: IECRE 02</td>
<td>Assessment</td>
<td>Add a recommendation</td>
<td>YES</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Summary assessment report</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>YES</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>YES</td>
<td>Approval of recommendation</td>
</tr>
<tr>
<td></td>
<td></td>
<td>YES</td>
<td></td>
</tr>
<tr>
<td>Allowance to issue RET Test Reports (RETRs)</td>
<td>Approved RECTF</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Approved RECTF</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
INTERNATIONAL ELECTROTECHNICAL COMMISSION

IEC SYSTEM FOR CERTIFICATION TO STANDARDS RELATING TO EQUIPMENT FOR USE IN RENEWABLE ENERGY APPLICATIONS (IECRE SYSTEM)

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