



# IECRE 02

Edition ~~2.0~~ 2017-02-28

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## IECRE PUBLICATION

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

Rules of Procedure

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## IECRE PUBLICATION

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

Rules of Procedure

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## CONTENTS

|   |    |
|---|----|
| CONTENTS .....  | 2  |
| FOREWORD .....  | 3  |
| INTRODUCTION .....  | 4  |
| 1 Scope .....   | 5  |
| 2 Normative References .....  | 5  |
| 3 Definitions and Abbreviations .....                                 | 5  |
| 4 Organizational Structure .....                                      | 5  |
| 4.1 OMCs .....  | 6  |
| 4.2 Numbering Definition .....  | 8  |
| 4.3 Working Groups (WGs) .....  | 8  |
| 4.4 Stakeholder Groups (SGs) .....                                    | 8  |
| 4.5 Task Forces (TFs) .....   | 9  |
| 5 Requirements for Participation in the IECRE System .....            | 9  |
| 5.1 Participation .....   | 9  |
| 5.2 Responsibilities .....  | 9  |
| 6 Deliverables of the IECRE System .....                              | 10 |
| 6.1 IECRE Test Report (RETR) .....                                    | 10 |
| 6.2 Product Certificates .....  | 10 |
| 7 Description of IECRE Operational Procedures .....                   | 12 |
| 7.1 General .....   | 12 |
| 7.2 Documents .....   | 12 |
| 8 Peer Assessment Program .....                                       | 12 |
| 8.1 Acceptance of Test Laboratories (RETLs) .....                     | 12 |
| 8.2 Acceptance of Renewable Energy Certification Bodies (RECBs) ..... | 15 |
| 8.3 Acceptance of Inspection Bodies (REIBs) .....                     | 18 |
| Annex A – OMC Terms of Reference .....                                | 19 |
| Annex B – Document Circulation .....                                  | 21 |

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## INTERNATIONAL ELECTROTECHNICAL COMMISSION

**IEC System for Certification to Standards Relating to Equipment  
for Use in Renewable Energy Applications (IECRE System) –****Rules of Procedure**

## 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):

| Document                | Report on Voting       |
|-------------------------|------------------------|
| <del>REMC/102A/DV</del> | <del>REMC/117/RV</del> |

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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 national level through mutual recognition of test and inspection results. Renewable Energy Test Laboratory (RETL) assessment requirements are sufficient for Renewable Energy Certification Bodies (RECBs) to accept Test Reports from RETLs. Renewable Energy Inspection Body (REIB) 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 IECRE 01. The IECRE System objectives, details and membership information are provided in IECRE 01 and at [www.iecre.org](http://www.iecre.org).

The approved Sectors, given in IECRE 01 and on the IECRE website, are operated by Operational Management Committees (OMCs) defined herein.

DRAFT

## IEC System for Certification to Standards Relating to Equipment for Use in Renewable Energy Applications (IECRE System) –

### Rules of Procedure

#### 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](http://www.iecre.org)) and in the IECRE Basic Rules (IECRE 01).

#### 2 Normative References

The following publications contain provisions which, through reference in this text, constitute provisions of these Rules of Procedure. At the time of publication, the editions indicated were valid. The IECRE Management Committee (REMC) shall decide the timetable for the introduction of new publications or revised editions of existing publications.

IEC CA 01, 2016, *IEC Conformity Assessment Systems – Basic Rules [Including IECRE Supplement: IECRE 01-S pending CAB approval]*

IECRE 01, Ed. 1, *IEC System for Certification to Standards Relating to Equipment for Use in Renewable Energy Applications (IECRE System) – Basic Rules*

ISO/IEC Guide 2:2004, *Standardization and related activities – General vocabulary*

ISO/IEC 17000:2004, *Conformity Assessment: Vocabulary and general principles*

ISO/IEC 17020:2012, *General criteria for the operation of various types of bodies performing inspection*

ISO/IEC 17021:2011, *Conformity assessment – Requirements for bodies providing audit and certification of management systems*

ISO/IEC 17024:2012, *Conformity Assessment – General requirements for bodies operating certification of persons*

ISO/IEC 17025:2005, *General requirements for the competence of testing and calibration laboratories.*

ISO/IEC 17040:2005, *Conformity assessment – General requirements for peer assessment of conformity assessment bodies and accreditation*

ISO/IEC 17043:2010, *Conformity assessment – General requirements for proficiency testing*

ISO/IEC 17065:2012, *Conformity Assessment – Requirements for bodies certifying products, processes and services*

ISO/IEC 17067:2013, *Conformity assessment – Fundamentals of product certification and guidelines for product certification schemes.*

ISO 9001:2015, *Quality management systems – Requirements*

#### 3 Definitions and Abbreviations

Please see IECRE Publication “Acronyms, Terms and Definitions: 2016”.

#### 4 Organizational Structure

The organization structure of the IECRE is outlined in the Basic Rules (IECRE 01). The Rules of Procedure define the following:

- Marine Energy Sector - Operational Management Committee (ME-OMC);

- Solar PV Energy Sector - Operational Management Committee (PV-OMC);
- Wind Energy Sector - Operational Management Committee (WE-OMC);
- Working Groups (WG);
- Stakeholder Groups (SG); and
- Task Forces (TF).

#### 4.1 OMCs

IECRE operates in three Sectors, Marine energy, Solar PV energy and Wind energy. All three Sector Operational Management Committees (OMCs) report directly to the REMC and have a defined Terms of Reference as seen in Annex A.

The REMC created three OMCs to manage the special requirements of the Sectors and to prepare rules documents and proposals for REMC decision.

OMCs may create Working Groups (WGs) and 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 OMC(s) shall be IECRE Member Bodies whom have declared desired participation in the respective Sector(s) to the Secretariat.

Additionally, Chairs and Secretaries of TC82, TC88 and TC114 are members without vote.

##### 4.1.2 Sector Leadership

- a) The Chair (with casting vote only);
- b) The immediate past Chair (without vote);
- c) The Vice-Chair (without vote); and
- d) The IECRE Executive Secretary (without vote).

The Chair of each Sector Operational Management Committee (OMC) and any other Committee established by the REMC is appointed by the REMC for a period of three years, on the nomination of the committee established by 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 Sector OMC may by specific resolution, outlining the circumstances, propose to the REMC that the incumbent Chair be appointed to a further term of three years in that position.

The Chair 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 Committee Chair are to:

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

The Chair may attend all meetings within the Sector, *ex officio*, without vote in this capacity.



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In the event of the Chair's being unable to fulfil his duties, the Vice-Chair shall deputize for them.

The Vice-Chair of each Sector OMC and any other Committee established by the REMC is appointed for a period of three years by the REMC, on the nomination of the REMC established Committee. 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 Committee may by specific resolution, outlining the circumstances, propose to the REMC that the incumbent Vice-Chair be appointed to a further term of three years in that position.

The Vice-Chair may at the same time be a national delegate to the Committee, except when they takes the chair at a meeting. In the absence of the Sector OMC Chairman, the Sector OMC Vice-Chairman shall act in their place.

The Chair and the Vice-Chair of the OMC and Committees 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 OMC shall be held at least annually.

In preparing the agenda, the IECRE Executive Secretary and the OMC Chair shall, as far as possible, list all the documents related to the various items for discussion. The OMC may refuse to consider matters set before it if the relevant documents have not been circulated in accordance with Annex B.

Member Bodies may select a delegation of not more than 3, including a Head of Delegation, for attendance at OMC Plenary meetings, unless decided otherwise by the Sector OMC.

The delegation shall take account of all interests in the conformity assessment process at national level, including those of regulatory authorities, equipment users, manufacturers, service providers and conformity assessment bodies.

WG, SG and TF Conveners may attend the OMC meetings at the invitation of the Chair, as observers. Additional observers, nominated by a Member Body or invited by the Chair, may attend the OMC Plenary meetings based on host space, etc. The observers shall have no right to vote, and their right to speak shall be determined by the OMC Chair.

OMCs may consider allowing SGs to be given a voice in general discussions and to be allowed to comment as a SG prior to any voting taking place amongst the Member Bodies.

Draft minutes of the meetings of the OMC shall be circulated by the IECRE Executive Secretary to all Members of the OMC within one month of the meeting, as seen in Annex B.

The OMC 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 OMC Rules of Procedure;
- b) The appointment of Sector Leaders of the OMC;
- c) The annual financial forecast and business plan for the OMC;
- d) Proposals for extensions to the scope of the Sector Schemes;
- e) Proposals for the use of normative documents other than IEC or ISO International Standards; and
- f) Acceptance of RECBs, RETLs and REIBs.

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#### 4.1.4 Voting

Each Member Body has one vote.

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

All other voting requirements are as per IECRE 01.

## 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 OMC WGs and SGs, as shown in Table 1.

**TABLE 1: Working Group and Stakeholder Group Numbering Convention**

| Title of WG                                     | REMC            | ME-OMC          | PV-OMC          | WE-OMC                |
|---|-----------------|-----------------|-----------------|-----------------------|
| RoP   | WG001           | WG301           | WG401           | WG501                 |
| Assessment & Audit of Quality Systems           | WG002           |                 | WG402           |                       |
| Customer Testing Laboratories                   | WG003           |                 |                 |                       |
| Promotion & Marketing                           | WG004           |                 | WG 404          |                       |
| Infringements                                   | WG005           |                 |                 |                       |
| Finance   | WG006           | WG306           |                 | WG506                 |
| Future REMC & Common OMC WG                     | WG007-<br>WG049 |                 |                 |                       |
| Stakeholder Groups SGX50-<br>SGX59              |                 |                 |                 |                       |
| Certification Bodies                            | ---             |                 |                 | SG550                 |
| Test Laboratories                               | ---             |                 |                 | SG551                 |
| Original Equipment<br>Manufacturers             | ---             |                 |                 | SG552                 |
| End Users                                       | ---             |                 |                 | SG553                 |
| Sector Specific Stakeholder<br>Groups           |                 |                 |                 | SG554<br>(Small Wind) |
| Reserved for Sector Specific<br>WGs WGX60-WGX99 |                 | WG360-<br>WG399 | WG460-<br>WG499 | WG560-<br>WG599       |

## 4.3 Working Groups (WGs)

The Sector OMCs are entitled to create Working Groups (WGs) to handle specific assignments. Tasks assigned to the WGs have to clearly be described as Terms of Reference by the OMC. The duties of the WGs shall be carried out under the responsibility of the specific OMC.

WGs may make recommendations for approval by their Sector OMC related to their Terms of Reference and assigned tasks.

Member Bodies of the OMC may nominate WG members and Conveners.

The Convener of a WG is appointed by the OMC Chair in consultation with the OMC Vice-chair and the IECRE Executive Secretary based on the nomination(s) received.

The conveners of the WGs are required to issue reports to the Sector OMCs on all items assigned to them, including the status of completion.

## 4.4 Stakeholder Groups (SGs)

To enhance the involvement of different parties having interest on the effective and continual operation of the IECRE System, a Sector OMC may decide to create Stakeholder Groups (SGs).

Tasks assigned to the SGs have to clearly be described as Terms of Reference by the OMC. The duties of the SGs shall be carried out under the responsibility of the specific OMC.

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SGs may make recommendations for approval by their Sector OMC related to their Terms of Reference and assigned tasks.

Member Bodies of the OMC may nominate SG members and Conveners.

The Convener of a SG is appointed by the OMC Chair in consultation with the OMC Vice-chair and the IECRE Executive Secretary based on the nomination(s) received.

The conveners of the SGs are required to issue reports to the Sector OMCs on all items assigned to them, including the status of completion.

#### 4.5 Task Forces (TFs)

The Sector OMCs may establish Task Forces for a limited task over a given time period specified by the OMC or for a specific technical expertise.

Tasks assigned to the TFs have to clearly be described as Terms of Reference by the OMC. The duties of the TFs shall be carried out under the responsibility of the specific OMC.

TFs may make recommendations to their Sector OMC related to their Terms of Reference and assigned tasks.

Member Bodies of the OMC may nominate TF members and Conveners.

The Convener of a TF is appointed by the OMC Chair in consultation with the OMC Vice-chair and the IECRE Executive Secretary based on the nomination(s) received.

The conveners of the TFs are required to issue reports to the Sector OMCs on all items assigned to them, including the status of completion.

## 5 Requirements for Participation in the IECRE System

### 5.1 Participation

IECRE Certification Bodies (RECBs), IECRE Testing Laboratories (RETLs) 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 or REIB for the purpose of issuing IECRE deliverables must be endorsed by the Member Body in the IECRE participating country. Reference is made to the Basic Rules (IECRE 01) 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 and REIBs are permitted to be independent legal entities and can participate independently in the IECRE System.

Manufacturing (OEM) laboratories may conduct specific tests as permitted by the accepting RECB, and as communicated to the IECRE Executive Secretary. Manufacturing (OEM) laboratories are, by definition, not RETLs and shall be assessed by the accepting RECB to the applicable requirements of ISO/IEC 17025. Test reports issued by manufacturing (OEM) laboratories are permitted for use in the certification process but shall not use the IECRE logo.

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### 5.2 Responsibilities

Each participant in the System is responsible for their work.

RECB recognition of deliverables between RECBs and from RETLs and REIBs is expected.

RECBs shall examine test reports from RETLs, certificates from RECBs or inspection reports from REIBs for a given scope of testing, certification or inspection as defined in the Certification Scheme. If the result of this examination is favourable, the RECB shall accept the test report, certificate or inspection report.

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## 6 Deliverables of the IECRE System

### 6.1 IECRE Test Report (RETR)

#### 6.1.1 Preparation

An RETR is prepared and issued by an RETL. 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.

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#### 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 OMCs to develop and maintain standardized Test Report Forms for all Standards used in the IECRE System. 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.

#### 6.1.8 Testing at Other Locations

To be developed at a later date.

### 6.2 Product Certificates

#### 6.2.1 Overview

Product Certificates include Component, Prototype, Type and Project Certificates since these Scheme deliverables are covered by ISO/IEC 17065. Sector specific requirements for Product Certificates shall be developed by the OMCs, if necessary. A Product Certificate is a document issued by an RECB to attest that specific Renewable Energy equipment was fully evaluated according to the 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 OMCs to develop and maintain standardized Product Certificate templates for all Schemes used in the IECRE System. The front cover sheet of all Product Certificates shall be common for all Sectors.

## 6.2.3 Usage of IECRE Logo Limitations

The IECRE logo shall be used on Product Certificates.

Additional limitations are provided in Clause 7.1.

## 6.2.4 Suspension/Withdrawal

Product Certificates shall be suspended or withdrawn by the issuing RECB if:

- The Product Certificate is misused;
- The Product 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 Product Certificate requests suspension or withdrawal.

When a Product 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 Product Certificate has been suspended or withdrawn, and give the reason for the action taken.

The maximum suspension time is one year. If a Product 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 Product Certificate will be withdrawn.

## 6.2.5 Procedures for Handling Product Certificates

### 6.2.5.1 General

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

If a Product Certificate is to be issued, the RECB shall enter the necessary data into the IECRE database. The Product 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 Product 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 Product Certificate for national certification or approval of RE equipment on the basis of a Product Certificate, the application shall be accompanied by a copy of the Product 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 examine the submitted IECRE Product Certificate regardless of the location of the issuing RECB, even if that RECB is located in the same country. If the result of this examination is favourable, national certification or approval shall be granted by the RECB without additional evaluation and testing following its own statutes and rules of procedure. However, if the IECRE Product Certificate does not cover declared national differences, if

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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 Product Certificate for recognition consider it to have been issued in error, the RECB that issued the IECRE Product Certificate shall be informed as soon as possible. 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**

To be developed at a later date.

#### **6.2.7 Specific Requirements for Prototype Certificates**

To be developed at a later date.

#### **6.2.8 Specific Requirements for Type Certificates**

To be developed at a later date.

#### **6.2.9 Specific Requirements for Project Certificates**

To be developed at a later date.

### **7 Description of IECRE Operational Procedures**

#### **7.1 General**

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#### **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.

### **8 Peer Assessment Program**

#### **8.1 Acceptance of Test Laboratories (RETLs)**

An RETL must be a third-party laboratory. The RETL assessment shall be made specific for each specific competence area. This also means that proficiency for one specific type of test does not imply proficiency for another specific type of test. The OMCs shall define which competency areas are relevant for the specific OMCs. Such a competence area shall be defined by reference to (or part of) an IEC/ISO standard that contains requirements on how a specific test shall be executed.

The assessment of candidate RETLs shall be based on the following **five** elements:

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- 1) A review of a random sample of historic reports issues for the competence area (to assess compliance with the referenced standard).
- 2) The results of a proficiency test for the competence area. The proficiency test shall follow ISO/IEC 17043 although the OMCs may deviate from the requirements in this standard as

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long as these deviations are described in an approved Operational Document. For some tests it is too expensive/difficult to test multiple samples, in which case the proficiency test may cover a more limited part of the standard as long as this is defined in an approved OD.

- 3) A review of the candidate RETL's own processes and procedures related to the specific competence area.
- 4) An inspection of an ongoing test (or the installation of a new test) and the related documentation.
- 5) ~~An assessment of the candidate RETL against ISO/IEC 17025 in case the test laboratory does not already hold an accreditation for ISO/IEC 17025 for the specific competence area.~~

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The OMC shall decide on specific requirements for the assessment to focus on in the form of an Operational Document. The assessment shall follow the principle of peer assessment (as described in ISO 17040) and as implemented in the various Conformity Assessment Systems under the CAB.

For some tests (such as a wind tunnel or wave tank or similar) the specific equipment needs to be assessed. Therefore a test laboratory that operates such test facilities in various locations will have to have each of these facilities assessed.

For some tests (such as performance testing of marine energy conversion systems or loads testing on wind turbines) the test equipment is temporarily installed in a specific location in the field, normally defined by the object to be tested (the marine energy conversion system, the wind turbine or the solar energy plant). Such tests are often monitored from various offices around the world. In this case the candidate RETL may assign one specific office that will be assessed. Other offices from the same organisation do not need to be assessed as long as they fall under the same quality management system as the office that is being assessed and as long as this office takes responsibility for the quality of the work done in the other offices.

### 8.1.1 Conditions of Acceptance

A test laboratory shall be accepted as an RETL by the REMC. The RETL can start to issue IECRE test reports (and use the IECRE logo) after acceptance by the OMC but this shall be confirmed by the REMC within 12 months. The elements of the assessment may indicate (minor) problems in a specific area (such as a report that is not 100% compliant to the Standard). This is not an automatic failure of the assessment as the final recommendation shall be made by the peer assessment team to the OMC and REMC (through the OMC) and can take into account a specific improvement plan.

### 8.1.2 Application as Renewable Energy Test Laboratory (RETL)

The candidate RETL shall, via their national Member Body of the IECRE System, make an application for the acceptance as RETL for one or more competence areas as defined by one of the OMCs in the IECRE System.

The application shall be submitted to the IECRE Executive Secretary and shall be accompanied by a declaration as detailed in the relevant ODs.

In submitting an application, the candidate RETL agrees to comply with the IECRE System Rules including the relevant ODs and Clarification Sheets.

### 8.1.3 Initial Assessment

The candidate RETL shall be assessed to determine that the conditions according to the IECRE System, including the rules and ODs for the specific Certification Scheme(s), are fulfilled. Peer assessors approved by the OMCs and appointed by the IECRE Executive Secretary shall carry out the assessment. The peer assessment team is appointed by the IECRE Executive Secretary and includes a lead assessor. The team shall also include technical assessors with competency to cover the scope of the RETL's assessment.

The requirements for the assessment may be further detailed in Sector specific rules and ODs covering one or several different Certification Schemes.

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The candidate RETL shall be given the names and current appointments of the team of assessors proposed to be appointed by the IECRE Executive Secretary. Candidate RETLs may object "for cause" (reasons to be stated) to the appointment of an assessor(s) to the IECRE Executive Secretary. If the stated reasons are considered sufficient, a new assessor(s) will be appointed.

The candidate RETL to be assessed shall accept to pay the professional fees of the team of assessors, as outlined in OD-003, and the reasonable travelling and living expenses arising from the assessment. An estimate of these expenses shall be provided by each assessor and agreed with the candidate RETL in advance. The IECRE Executive Secretary shall manage the assessment process, including the appointment of the team of assessors from a pool of peer assessors approved by the OMC.

#### **8.1.4 New Entrant Assessment**

For consideration to be developed at a later date.

#### **8.1.5 Resolution of Differences**

During the assessment, the assessment team shall prepare a draft assessment report that shall be discussed with the management of the applicant RETL. Efforts should be made to resolve any differences of opinion between the assessors and the applicant during the closing meeting.

Non-conformities shall be reported at the conclusion of the closing meeting and a time frame for resolving them shall be agreed. After this time frame, the final assessment report shall be prepared.

#### **8.1.6 Reports to IECRE Executive Secretary**

The lead assessor shall submit to the IECRE Executive Secretary a summary assessment report containing the recommendations of the assessment team, taking into account the declaration submitted together with the application. Such a summary assessment report shall not include the RETRs, round robin or proficiency testing results or management system procedures that were the basis of the assessment but shall include sufficient details from these sources to give the technical background for the recommendation.

A copy of the summary assessment report shall be submitted to the representatives of the candidate RETL.

A full assessment report will also be shared with the candidate RETL and the IECRE Executive Secretary, but is otherwise confidential and will thus not be shared with the OMC(s) or the REMC.

#### **8.1.7 Acceptance**

Upon successful assessment the IECRE Executive Secretary shall provide the summary assessment report to the relevant OMC(s) and recommend the relevant Sector OMC(s) to accept the candidate RETL at an OMC meeting or by correspondence. If the Sector OMC(s) accepts the recommendation then the IECRE Executive Secretary will submit this recommendation, and the summary assessment report, to the REMC for approval.

Once the recommendation to approve from the lead assessor is submitted to the IECRE Executive Secretary, and the full assessment report has been deemed acceptable by the IECRE Executive Secretary, provisional approval is granted. Provisional approval allows the RETL to operate fully in the System.

#### **8.1.8 Notification**

If the decision of the OMC(s) and REMC is positive, the IECRE Executive Secretary shall inform the RETL of approval.

If the decision of the OMC(s) or REMC is negative, the provisional approval will be withdrawn. The IECRE Executive Secretary shall inform the RETL and may, depending on the findings, suggest to the RETL:

- to withdraw the application, or
- to accept a new assessment



Based on a negative decision by the OMC(s) or REMC, the RETL shall withdraw all System deliverables issued during the provisional approval period.

### 8.1.9 Changes

The RETL shall inform the IECRE Executive Secretary about significant changes (organizational changes, changes to the quality management system, change in location, etc.) in the formal information given in the application, and possibly supplemented in the full assessment report, within 4 weeks after these changes happen.

The IECRE Executive Secretary, in consultation with select members of the peer assessment pool, shall review these changes and determine if a re-assessment is needed.

### 8.1.10 Extension of Scope

When an RETL wishes to extend its scope in the IECRE System, an application shall be made to the IECRE Executive Secretary. The assessment of the extended scope shall follow the same procedure as the initial assessment.

### 8.1.11 Re-Assessment

The acceptance of the RETL is valid for a period of maximum five years and the Sector specific OD may give further details with respect to the validity period (but cannot exceed the five years). The re-assessment shall follow the same procedure as the initial assessment except that non-conformities must be resolved within 3 months. The IECRE Executive Secretary will notify RETLs early in the year as to when their re-assessment is required for that year. The RETL shall then apply for re-assessment within one month of the notification. In case of unsuccessful re-assessment or refusal, the RETL will be suspended.

### 8.1.12 Withdrawal Requested by RETL

An RETL wishing to withdraw from the IECRE System shall notify the IECRE Executive Secretary via the national Member Body of the IECRE System at least one year in advance and shall indicate the reason for withdrawal and the date from which the withdrawal will become effective.

### 8.1.13 Suspension and Withdrawal

A RETL may be suspended for non-payment of fees or for violation of any rules or violation of the spirit and intent of the IECRE System's objectives and goals related to the facilitation of international trade and reciprocity of such. Any proposal to suspend an RETL, or to cancel such suspension, shall require agreement by a majority of at least two-thirds of the total number of eligible votes received from the IECRE System Member Bodies, with abstentions and non-votes not being counted, except in the case of suspension for non-payment of fees as decided by the REMC, in which case the IECRE Executive Secretary may take the administrative action of suspension.

If the suspension of the RETL has not been cancelled during the year after which the decision was taken, the RETL concerned ceases to participate in the IECRE System (i.e. issue IECRE deliverables) and is fully withdrawn.

Suspended RETLs shall not be permitted to participate in the IECRE System during the period of suspension and shall have no right to issue IECRE System deliverables or receive documents and publications of the IECRE System.

RETLs whose suspension has been cancelled and have been reinstated must submit a new application, including any application fees, as well as outstanding fees, and must undergo a full initial assessment. However, an RETL suspended only for the failure to pay fees can be reinstated upon fee payment without a new application. An RETL who is withdrawn must re-apply as a new RETL applicant.

## 8.2 Acceptance of Renewable Energy Certification Bodies (RECBs)

### 8.2.1 Conditions of Acceptance

A certification body shall be accepted as an RECB by the REMC and given the right to issue IECRE deliverables, according to the IECRE Scheme(s), under the following conditions:

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- The competence of the RECB shall be demonstrated by peer assessment in line with ISO/IEC 17040 and detailed in the sector specific ODs covering the specific Certification Scheme; and
- Accreditation requirements to ISO/IEC 17065 shall be defined in the sector level Rules of Procedure

Deleted: The RECB shall be accredited to the appropriate standard by a recognized national accreditation body. For Product Certification Schemes, ISO/IEC 17065 shall be applied. If the RECB loses its accreditation they must notify the IECRE Executive Secretary.

### 8.2.2 Application as Certification Body (RECB)

The candidate RECB, via their national Member Body of the IECRE System, shall make an application for the acceptance as RECB for one or more Certification Schemes which are accepted for use in the IECRE Conformity Assessment System.

The application shall be submitted to the IECRE Executive Secretary and shall be accompanied by a declaration as detailed in the relevant ODs.

In submitting an application, the candidate RECB agrees to comply with the IECRE System Rules including the ODs covering the specific Certification Scheme(s) and Clarifications Sheets.

### 8.2.3 Initial Assessment

The candidate RECB shall be assessed to determine that the conditions according to the IECRE System, including the rules and ODs for the specific Certification Scheme(s), are fulfilled. Peer assessors approved by the OMCs and appointed by the IECRE Executive Secretary shall carry out the assessment. The peer assessment team is appointed by the IECRE Executive Secretary and includes a lead assessor. The team shall also include technical assessors with competency to cover the scope of the RECB's assessment.

The requirements for the assessment may be further detailed in Sector specific rules and ODs covering one or several different Certification Schemes.

The candidate RECB shall be given the names and current appointments of the team of assessors proposed to be appointed by the IECRE Executive Secretary. Candidate RECBs may object "for cause" (reasons to be stated) to the appointment of an assessor(s) to the IECRE Executive Secretary. If the stated reasons are considered sufficient, a new assessor(s) will be appointed.

The candidate RECB to be assessed shall accept to pay the professional fees of the team of assessors, as outlined in OD-003, and the reasonable travelling and living expenses arising from the assessment. An estimate of these expenses shall be provided by each assessor and agreed with the candidate RECB in advance. The IECRE Executive Secretary shall manage the assessment process, including the appointment of the team of assessors from a pool of peer assessors approved by the OMC.

### 8.2.4 New Entrant Assessment

For consideration to be developed at a later date.

### 8.2.5 Resolution of Differences

During the assessment, the assessment team shall prepare a draft assessment report that shall be discussed with the management of the applicant RECB. Efforts should be made to resolve any differences of opinion between the assessors and the applicant during the closing meeting.

Non-conformities shall be reported at the conclusion of the closing meeting and a time frame for resolving them shall be agreed. After this time frame, the final assessment report shall be prepared.

### 8.2.6 Reports to IECRE Executive Secretary

The lead assessor shall submit to the IECRE Executive Secretary a summary assessment report containing the recommendations of the assessment team, taking into account the declaration submitted together with the application. Such a summary assessment report shall not include the certificates, Conformity Statements, evaluation reports and management system procedures that were the basis of the assessment but shall include sufficient details from these sources to give the technical background for the recommendation.

A copy of the summary assessment report shall be submitted to the representatives of the candidate RECB.

A full assessment report will be shared with the candidate RECB and the IECRE Executive Secretary, but is otherwise confidential and will thus not be shared with the OMC(s) or the REMC.

### 8.2.7 Acceptance

Upon successful assessment the IECRE Executive Secretary shall provide the summary assessment report to the relevant OMC(s) and recommend the relevant Sector OMC(s) to accept the candidate RECB at an OMC meeting or by correspondence. If the Sector OMC(s) accepts the recommendation then the IECRE Executive Secretary will submit this recommendation, and the summary assessment report, to the REMC for approval.

Once the recommendation to approve from the lead assessor is submitted to the IECRE Executive Secretary, and the full assessment report has been deemed acceptable by the IECRE Executive Secretary, provisional approval is granted. Provisional approval allows the RECB to operate fully in the System.

### 8.2.8 Notification

If the decision of the OMC(s) and REMC is positive, the IECRE Executive Secretary shall inform the RECB of approval.

If the decision of the OMC(s) or REMC is negative, the provisional approval will be withdrawn. The IECRE Executive Secretary shall inform the RECB and may, depending on the findings, suggest to the RECB:

- to withdraw the application, or
- to accept a new assessment

Based on a negative decision by the OMC(s) or REMC, the RECB shall withdraw all System deliverables issued during the provisional approval period.

### 8.2.9 Changes

The RECB shall inform the IECRE Executive Secretary about significant changes (organizational changes, changes to the quality management system, change in location, etc.) in the formal information given in the application, and possibly supplemented in the full assessment report, within 4 weeks after these changes happen.

The IECRE Executive Secretary, in consultation with select members of the peer assessment pool, shall review these changes and determine if a re-assessment is needed.

### 8.2.10 Extension of Scope

When an RECB wishes to extend its scope in the IECRE System, an application shall be made to the IECRE Executive Secretary. The assessment of the extended scope shall follow the same procedure as the initial assessment.

### 8.2.11 Re-Assessment

The acceptance of the RECB is valid for a period of maximum five years and the Sector specific OD may give further details with respect to the validity period (but cannot exceed the five years). The re-assessment shall follow the same procedure as the initial assessment except that non-conformities must be resolved within 3 months. The IECRE Executive Secretary will notify RECBs early in the year as to when their re-assessment is required for that year. The RECB shall then apply for re-assessment within one month of the notification. In case of unsuccessful re-assessment or refusal, the RECB will be suspended.

### 8.2.12 Withdrawal Requested by RECB

An RECB wishing to withdraw from the IECRE Conformity Assessment System shall notify the IECRE Executive Secretary via the national Member Body of the IECRE System at least one year in advance and shall indicate the reason for withdrawal and the date from which the withdrawal will become effective.

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### 8.2.13 Suspension and Withdrawal

A RECB may be suspended for non-payment of fees or for violation of any rules or violation of the spirit and intent of the IECRE System's objectives and goals related to the facilitation of international trade and reciprocity of such. Any proposal to suspend an RECB, or to cancel such suspension, shall require agreement by a majority of at least two-thirds of the total number of eligible votes received from the IECRE System Member Bodies, with abstentions and non-votes not being counted, except in the case of suspension for non-payment of fees as decided by the REMC, in which case the IECRE Executive Secretary may take the administrative action of suspension.

If the suspension of the RECB has not been cancelled during the year after which the decision was taken, the RECB concerned ceases to participate in the IECRE System (i.e. issue IECRE deliverables) and is fully withdrawn.

Suspended RECBs shall not be permitted to participate in the IECRE System during the period of suspension and shall have no right to issue IECRE System deliverables or receive documents and publications of the IECRE System.

RECBs whose suspension has been cancelled and have been reinstated must submit a new application, including any application fees, as well as outstanding fees, and must undergo a full initial assessment. However, an RECB suspended only for the failure to pay fees can be reinstated upon fee payment without a new application. RECB who is withdrawn must re-apply as a new RECB applicant.

### 8.3 Acceptance of Inspection Bodies (REIBs)

To be developed at a later date.

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## Annex A – OMC Terms of Reference

### Scope

1. Each sector Operational Management Committee (OMC) shall prepare and operate international Conformity Assessment Schemes within its specified sector based on the applicable IECRE Rules.
2. In operating the Schemes within their sector(s), each OMC shall involve affected stakeholders.
3. The OMC shall support the future development of its sector to provide value to stakeholders.
4. In reporting to the REMC, the duties of each OMC are to operate as a management committee to:

Deleted: The OMC Terms of Reference can be found on the IECRE website.¶  
 A harmonized OMC Terms of Reference is to be developed at a later date.¶

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### A.1 Schemes, Rules, Procedures and Standards

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- A.1.1 Identify appropriate schemes required for its sector and make recommendations for approval by REMC.
- A.1.2 Develop Rules of Procedure and Operational Documents specific to its sector for REMC approval.
- A.1.3 Define the scope, requirements and applicable standards to be used for each scheme approved by the REMC 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 Rules of Procedure and 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.

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Deleted: <#>Ensure a consistent application and common understanding of interpretations of standards, conformity assessment processes and test method procedures within its sector. ¶

### A.3 Applications Regarding Conformity Assessment

- A.3.1 Prepare a proposal for decisions regarding applications and continued operation of conformity assessment bodies (e.g., Certification Bodies, Testing Laboratories), within each OMC's sector, for approval by REMC.

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#### **A.4 Conformity Assessment**

- A.4.1 Ensure mutual recognition among RECBs, RETLs 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 OMC 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 OMC's sector.
- A.6.2 Identify changes to technical requirements necessary to operate the IECRE Schemes within each OMC'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.

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#### **A.8 WGs, SGs, TFs**

- A.8.1 Propose appropriate OMC Working Groups, Stakeholder Groups or Task Forces for its sector to the REMC.

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**Annex B – Document Circulation**

| <b>Circulated by the IECRE Executive Secretary</b>           | <b>Circulated by the OMC Member Bodies to the IECRE Executive Secretary</b>      | <b>Timeline</b>                        | <b>Timeline</b> |
|--|--|--|-----------------|
| draft agendas  |  | three months prior to the OMC meeting  | - 12 weeks      |
| amendments or decisions affecting the OMC Rules of Procedure |  | three months prior to the OMC meeting  | - 12 weeks      |
| proposals to be considered at the OMC meeting                | proposals to be considered at the OMC meeting                                    | eight weeks prior to the OMC meeting   | - 8 weeks       |
| meeting documents  |  | six weeks prior to the OMC meeting     | - 6 weeks       |
|  | other documents, including comments on documents to be considered at the meeting | three weeks prior to the OMC meeting   | - 3 weeks       |
| final agenda   |  | two weeks prior to the OMC meeting     | - 2 weeks       |
|  |  | meeting                                | week 0          |
| unconfirmed minutes  |  | one month after the OMC meeting        | + 4 weeks       |
|  | comments on the OMC minutes  | within two months of their circulation | + 8 weeks       |
|  | comments received on the OMC minutes   | make visible to members once received  | + 8 weeks       |
| confirmed minutes  |  | three months after the OMC meeting     | + 12 weeks      |

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