



# **IECRE OPERATIONAL DOCUMENT**

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

**WE-OMC Certification Body Assessment Report**





## **THIS PUBLICATION IS COPYRIGHT PROTECTED**

**Copyright © 2016 IEC, Geneva, Switzerland**

All rights reserved. Unless otherwise specified, no part of this publication may be reproduced or utilized in any form or by any means, electronic or mechanical, including photocopying and microfilm, without permission in writing from either IEC or IEC's member National Committee in the country of the requester.

If you have any questions about IEC copyright or have an enquiry about obtaining additional rights to this publication, please contact the address below or your local IEC member National Committee for further information.

IEC Central Office  
3, rue de Varembe  
CH-1211 Geneva 20  
Switzerland

Tel.: +41 22 919 02 11  
Fax: +41 22 919 03 00  
[info@iec.ch](mailto:info@iec.ch)  
[www.iec.ch](http://www.iec.ch)

### **About the IEC**

The International Electrotechnical Commission (IEC) is the leading global organization that prepares and publishes International Standards for all electrical, electronic and related technologies.

### **About IEC publications**

The technical content of IEC publications is kept under constant review by the IEC. Please make sure that you have the latest edition, a corrigenda or an amendment might have been published.

#### **Useful links:**

IEC publications search - [www.iec.ch/searchpub](http://www.iec.ch/searchpub)

The advanced search enables you to find IEC publications by a variety of criteria (reference number, text, technical committee,...).

It also gives information on projects, replaced and withdrawn publications.

IEC Just Published - [webstore.iec.ch/justpublished](http://webstore.iec.ch/justpublished)

Stay up to date on all new IEC publications. Just Published details all new publications released. Available on-line and also once a month by email.

Electropedia - [www.electropedia.org](http://www.electropedia.org)

The world's leading online dictionary of electronic and electrical terms containing more than 30 000 terms and definitions in English and French, with equivalent terms in additional languages. Also known as the International Electrotechnical Vocabulary (IEV) on-line.

Customer Service Centre - [webstore.iec.ch/csc](http://webstore.iec.ch/csc)

If you wish to give us your feedback on this publication or need further assistance, please contact the Customer Service Centre: [csc@iec.ch](mailto:csc@iec.ch).



**IECRE OD-550-2**

Edition 1.0 2016-04-19

# **IECRE OPERATIONAL DOCUMENT**

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

**WE-OMC Certification Body Assessment Report**

INTERNATIONAL  
ELECTROTECHNICAL  
COMMISSION

PRICE CODE

**ZZ**



## CONTENTS

CONTENTS .....	2
1 Object and field of assessment .....	3
1.1 Object.....	3
1.2 Categories .....	3
1.3 Previous Assessment Report.....	3
1.4 Complete legal entity name and address of the Certification Body .....	3
1.5 Members of the Assessment Team .....	4
1.6 Assessment Base.....	4
2 Certification Body .....	4
2.1 Brief history of the Certification Body.....	4
2.2 Certification work including witnessing of testing in the work shop and in the field .....	4
2.3 Use of OEM/EU laboratories.....	4
2.4 National Certification Schemes .....	5
2.5 Organisation of the Certification Body.....	5
3 Personnel Structure .....	5
3.1 Employees .....	5
3.2 Responsible for Certification Decision.....	5
3.3 Principal staff and/or experts involved in Certification.....	5
3.4 Quality Manager(s) of the Certification Body .....	6
3.5 Assessment of staff competence .....	6
3.6 Assessment of tools for certification .....	6
4 Quality Management System.....	7
5 Training.....	7
6 Certification files reviewed during the assessment.....	7
7 Number of Non-Conformity Reports issued.....	8
8 Recommendations of the Assessment Team .....	8
8.1 Additional Information .....	8
9 Signatures of the Assessment Team .....	8
10 Acknowledgement by the assessed organization .....	9
Annex A .....	10
A.1 Initial Assessment / Scope extension Assessment Scope.....	10
A.2 Standards of the current accepted scope selected for this Re-assessment .....	11
Annex B Organisation chart .....	12
Annex C Accreditation Certificate .....	13
Annex D Non-Conformity Reports.....	14



## 1 Object and field of assessment

### 1.1 Object

Assessment covering	IECRE Assessment	Joint Assessment	Accreditation Body	Scope of Accreditation
Initial Assessment (IAR)	<input type="checkbox"/>	<input type="checkbox"/>		
Extension of Scope (EAR)	<input type="checkbox"/>	<input type="checkbox"/>		
Re-Assessment (RAR)	<input type="checkbox"/>	<input type="checkbox"/>		
Follow-up Assessment (FAR)	<input type="checkbox"/>	<input type="checkbox"/>		
Re-Location Assessment (RLAR)	<input type="checkbox"/>	<input type="checkbox"/>		

### 1.2 Categories

#### 1.2.1 Categories covered by the initial/scope extension assessment

TC	TC-SWT										
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

#### 1.2.2 Categories covered by the re-assessment

TC	TC-SWT										
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

### 1.3 Previous Assessment Report

Previous Assessment Report Number	IECRE-WE/ /
Previous Assessment Date	yyyy-mm-dd

### 1.4 Complete legal entity name and address of the Certification Body

Legal Entity Name	
Address	
Contact Person	
Email	
Tel	
Mobile	
Website	



**1.5 Members of the Assessment Team**

	Name	Organisation	Country
Lead Assessor			
Assessor			
Assessor			

**1.6 Assessment Base**

- IECRE 01 Basic Rules
- IECRE 02 Rules of Procedure (Draft)
- IEC 61400-22
- ISO/IEC 17065
- OD-550-1 Acceptance of RECBs during the transition period*

The above documents are to be based upon the latest published editions

**2 Certification Body**

**2.1 Brief history of the Certification Body**

**2.2 Certification work including witnessing of testing in the work shop and in the field**

**2.3 Use of OEM/EU laboratories**

	Yes	No	N/A
Does the Certification Body perform the required assessments of the OEM/EU labs or non-RETL during the transition period?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



## 2.4 National Certification Schemes

## 2.5 Organisation of the Certification Body

## 3 Personnel Structure

### 3.1 Employees

>67% of the technical staff is own employees	Yes	No
	<input type="checkbox"/>	<input type="checkbox"/>

### 3.2 Responsible for Certification Decision

Name	Position (title) and field of expertise	Years of relevant experience	Experience checked & found appropriate		Reports to
			Yes	No	
			<input type="checkbox"/>	<input type="checkbox"/>	
			<input type="checkbox"/>	<input type="checkbox"/>	
			<input type="checkbox"/>	<input type="checkbox"/>	
			<input type="checkbox"/>	<input type="checkbox"/>	

### 3.3 Principal staff and/or experts involved in Certification



Certification Body Assessment Report	IECRE-WE/ /
--------------------------------------	-------------

Confidential to the Members

Name	Position (title) and field of expertise	Years of relevant experience	Experience checked & found appropriate		Reports to
			Yes	No	
			<input type="checkbox"/>	<input type="checkbox"/>	
			<input type="checkbox"/>	<input type="checkbox"/>	
			<input type="checkbox"/>	<input type="checkbox"/>	
			<input type="checkbox"/>	<input type="checkbox"/>	

**3.4 Quality Manager(s) of the Certification Body**

Name	Position (title) and field of expertise	Years of relevant experience	Experience checked & found appropriate		Reports to
			Yes	No	
			<input type="checkbox"/>	<input type="checkbox"/>	
			<input type="checkbox"/>	<input type="checkbox"/>	
			<input type="checkbox"/>	<input type="checkbox"/>	
			<input type="checkbox"/>	<input type="checkbox"/>	

**3.5 Assessment of staff competence**

**3.6 Assessment of tools for certification**





#### 4 Quality Management System

	Yes	No	N/A
Is the Certification Body accredited by an IAF/MLA Accreditation Body?	<input type="checkbox"/>	<input type="checkbox"/>	
Does the accreditation include the scope covered by this assessment?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Accreditation assessment report, Internal audits, management review

#### 5 Training

#### 6 Certification files reviewed during the assessment



## 7 Number of Non-Conformity Reports issued

Number of NCRs appended	
-------------------------	--

## 8 Recommendations of the Assessment Team

This assessment has been a sampling exercise and thus every aspect of the Certification Body's activities has not been covered. It does not follow, therefore, that non-conformances do not exist in areas where none have been reported in this assessment report.

Standard recommendations:

1. The Assessment Team recommends <b>acceptance</b> of the assessed organisation for the scope(s) as reported in <a href="#">Annex A.1</a> of this Assessment Report as appropriate.	<input type="checkbox"/>
2. The Assessment Team recommends <b>acceptance</b> of the assessed organisation for the scope(s) as reported in <a href="#">Annex A.1</a> of this Assessment Report <b>subject to clearance</b> of the outstanding Non-conformity Reports as appropriate.	<input type="checkbox"/>
3. The Assessment Team recommends that the acceptance of the assessed organisation is <b>postponed</b> until a further <b>follow-up assessment</b> is carried out and is found satisfactory.	<input type="checkbox"/>
4. Other, please specify using similar terminology	<input type="checkbox"/>

### 8.1 Additional Information

## 9 Signatures of the Assessment Team

Date: yyyy-mm-dd



Certification Body Assessment Report	IECRE-WE/ /
--------------------------------------	-------------

Confidential to the Members

	Printed name	Signature
Lead Assessor		
Assessor		
Assessor		

**10 Acknowledgement by the assessed organization**

- We acknowledge and agree with the content of the Assessment Report.
- We acknowledge the content of the Assessment Report and we disagree for the following reasons:

Date: yyyy-mm-dd

	Printed name	Signature
Certification Body Representative		
Quality Management Representative		



Certification Body Assessment Report	IECRE-WE/ /
--------------------------------------	-------------

Confidential to the Members

## Annex A

### A.1 Initial Assessment / Scope extension Assessment Scope

Category	Standard	Number of Certificates issued during the last two years	Assessment Team acceptance	
			Yes	No
			<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>



Confidential to the Members

**A.2 Standards of the current accepted scope selected for this Re-assessment**

Category	Standard	Number of Certificates issued during the last two years	Assessment Team acceptance	
			Yes	No
			<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>

Note: For the organisation's full scope please see the IECRE Website



Certification Body Assessment Report	IECRE-WE/ /
---	-------------

Confidential to the Members

## **Annex B Organisation chart**



Certification Body Assessment Report	IECRE-WE/ /
---	-------------

Confidential to the Members

## **Annex C Accreditation Certificate**



Certification Body Assessment Report	IECRE-WE/ /
--------------------------------------	-------------

Confidential to the Members

### Annex D Non-Conformity Reports

<b>Non-conformity Report No</b>	/	<b>Date</b>	YYYY-MM-DD
Categories concerned			
Clause / Sub-clause of Non-Conformity			
Non-conformity description			
Lead Assessor		Management representative	
Signature and printed name		Signature, printed name and title	
Root cause of non-conformity			
Proposed Corrective action(s)			





Certification Body Assessment Report	IECRE-WE/ /
--------------------------------------	-------------

Confidential to the Members

Implementation date	Management representative
YYYY-MM-DD	Signature, printed name, title and date
<b>Proposed Corrective Action(s) acceptance</b>	
Acceptance, no further verification required	<input type="checkbox"/>
Acceptance, further verification of implementation is required, <u>without</u> on-site follow-up assessment	<input type="checkbox"/>
Acceptance, further verification of implementation is required, <u>with</u> on-site follow-up assessment	<input type="checkbox"/>
Lead Assessor (Signature, printed name and date)	
<b>Implementation verified and final clearance provided by Lead Assessor</b>	
Lead Assessor signature, printed name and date	

**INTERNATIONAL  
ELECTROTECHNICAL  
COMMISSION**

3, rue de Varembé  
PO Box 131  
CH-1211 Geneva 20  
Switzerland

Tel: + 41 22 919 02 11  
[info@iec.ch](mailto:info@iec.ch)  
[www.iec.ch](http://www.iec.ch)

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

IECRE Secretariat c/o IEC  
3, rue de Varembé  
PO Box 131  
CH-1211 Geneva 20  
Switzerland

Tel: + 41 22 919 02 11  
[secretariat@iecre.org](mailto:secretariat@iecre.org)  
[www.iecre.org](http://www.iecre.org)