

CONFORMITY ASSESSMENT PUBLICATION

Consolidated procedures for IEC participation in ISO/CASCO work





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INTERNATIONAL
ELECTROTECHNICAL
COMMISSION

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INTERNATIONAL ELECTROTECHNICAL COMMISSION

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FOREWORD

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

Document(s)	Decision(s)
CAB/462/INF, CABPUB/83/INF	CAB Decision 33/26
CAB/1545/DV, CAB/1546/DV	CAB/Decision 41/xx

This document is a consolidation of three CAB documents containing descriptions of procedures, processes and responsibilities that have been discussed and development over many years beginning in 2002.

The three sections of this document come directly from the three source documents, although with some slight editorial changes to ensure a coherent final document.

The three source documents in order of the three sections of this document are, CAB/1545/DV, describing processes for obtaining nominations for CAB Experts to CASCO working groups; CAB/462/INF, describing the role and responsibilities of the CAB Experts and the IEC Coordinator; and CABPUB/83/INF, describing the process by which IEC and ISO/CASCO coordinate to develop and vote on the standards developed within CASCO.

Consolidated procedures for IEC participation in ISO/CASCO work

1 Procedure to obtain appropriate participation of IEC experts in the work of ISO/CASCO

1.1 Introduction

IEC's Conformity Assessment (CA) Systems use International Standards and Guides developed by ISO/CASCO, and IEC and CAB have frequently expressed to ISO the value they place upon the work accomplished there. For this reason, and given that the large majority of publications issuing from CASCO bear the joint ISO/IEC logo, IEC has a considerable interest in contributing effectively to that work and influencing it. In order to do so, an appropriate participation by IEC experts is needed. This, in turn, requires appropriate procedures to call up those experts. The following sections propose procedures for the two distinct cases of, firstly, the revision of existing standards, and, secondly, the development of new standards.

1.2 Process for obtaining IEC experts for the revision of existing CASCO standards

This is defined as a separate process from that of new standards development (SD) work, because the revision of existing standards is governed by the ISO systematic review process, and can be anticipated years in advance, as reflected in the CASCO Road Map. Conversely, new SD work can arise at any time without warning. The process for the review of existing standards can therefore be anticipatory.

CAB review of the CASCO Road Map

At its June meeting, the CAB shall review the current CASCO Road Map and indicate which standards are of particular importance for the current and/or future IEC CA activities.

CA Systems' review and reporting of the CASCO Road Map

The CA Systems will include in their respective management committee meetings a standing agenda item concerning the CASCO Road Map and the standards indicated by CAB as requiring particular participation by IEC experts. This agenda item should be used to confirm or modify the CAB review and to anticipate the needs in terms of experts. The CA Systems' management committee report will include information on this agenda item.

Call for experts

At the appropriate time a call for experts will be circulated by the CAB Secretariat to members of CAB, to the CA Systems Officers and to IEC NCs.

Nomination of experts

(see section 2.2)

CAB/462/INF Clause 2 states:

Experts are nominated by CAB Members, CA Systems' Officers or National Committees. CAB approves the complete list of nominees once every two years.

1.3 Process for obtaining IEC experts for new CASCO work proposals

Any new work proposal (NP) will first have to be approved by the IEC and ISO members of CASCO. The following procedure will apply in the event of a positive result.

Review of the NP

The NP will be circulated to members of CAB for their specific feedback on the question of

- whether the NP is important to the current and/or future IEC CA activities, and
- whether it is important to have a strong representation of IEC experts in the respective CASCO working group.

NOTE This process step is supplementary to the NP Circulation process step described in the CABPUB Process given in CABPUB/83/INF.

Call for experts

If the review process concludes that the NP is of importance for the current and/or future IEC CA activities, then the CA Systems' Officers will immediately be informed and will take the necessary action at the CA Systems' level to inform its members and recruit the appropriate experts.

If the review process does not conclude that the NP is of particular importance, then no specific action will be initiated at the CA Systems' level.

In the first cases the steps described in sections "Call for experts" and "Nomination of experts" above will then follow.

In the second case the ballot for the NP, and its associated call for experts, will be circulated to the IEC full member NCs, and then step "Nomination of experts" above will follow.

1.4 Default process

If the processes described in parts 1.2 and 1.3 above do not result in any nominations for IEC experts or an IEC Coordinator to the respective CASCO WG, then the CAB Secretary will undertake this role.

2 Policy for IEC representation and coordination in ISO/CASCO working groups

2.1 Introduction

IEC's Conformity Assessment (CA) Schemes use International Standards and Guides developed by ISO/CASCO, and IEC and the CAB have frequently expressed to ISO the value they place upon the work accomplished there. For this reason, and given that the large majority of publications issuing from CASCO bear the joint ISO/IEC logo, IEC has a considerable interest in contributing effectively to that work and influencing it. This Policy regulates IEC experts' contribution to the work of ISO/CASCO groups, and reporting on it to the CAB.

2.2 Experts Nomination

Experts are nominated by CAB members, CA Scheme Officers or National Committees. The CAB approves the complete list of nominees once every year.

2.3 IEC Coordinator

Each CASCO WG or other CASCO group in which IEC has an interest has an IEC Coordinator, who is nominated from among themselves by the experts named to the group concerned, in consultation with the CAB (in practice, in consultation with one or more delegated members of CAB). CAB approves the nomination of each new Coordinator, and additionally approves the complete list of Coordinators as part of the experts' list once every year.

NOTE Aspects of the "terms of reference" of experts and coordinators, derived from CAB documents taken into consideration by the CAB in the course of approving this Policy, are given in the Annex of CAB/462/INF.

2.4 IEC Coordinator's responsibilities

- to identify IEC's interests in the work of the WG, in particular where these interests may not coincide with the developing position or drafts of the WG;
- to coordinate the contributions of all members of the WG who are from IEC;
- in exceptional situations where the CAB has decided that IEC as a whole should express a position with respect to the WG's work, to represent the IEC's position in the WG;

- to work with the CAB Secretariat to distribute all documents of interest to CAB members and IEC members in other WGs as relevant;
- to provide reports and information on the WG's work (see 2.5 and 2.6 below).

2.5 IEC Coordinator's report

Each Coordinator provides a written report to the CAB annually, using the report template (in Annex A), covering the following points:

- title of the group and one-paragraph abstract of the subject of its work;
- planned deliverable(s) of the group, including schedule and milestones;
- relevance and interest of these to IEC and the IEC CA Schemes;
- issues, controversies or difficulties, whether current or potential, including foreseeable steps and schedules for their resolution.

The Coordinator discusses the major points of her or his report with the other IEC experts in the group, and provides them with the opportunity to express a different view to the CAB.

2.6 Feedback to National Committees

The Coordinator, with the help of other IEC members of the group where relevant, provides information to the CAB which will help National Committees in consulting, commenting and voting upon drafts issued by CASCO and intended to become joint-logo International Standards or Guides. This information should be available in time to be discussed and decided upon by the CAB, so that the results may be included in the commenting/voting document issued to NCs by IEC Central Office.

3 ISO/CASCO & IEC/CABPUB procedures

3.1 Background

Conformity assessment is the activity of checking conformity to technical specifications and management systems standards (MSS), and this activity should be carried out according to rules which will guarantee its quality, consistency and reliability. In other words, conformity assessment itself needs to use a standardized approach.

The IEC and ISO have therefore developed and published a full series of international standards specifying how conformity assessment should be carried out. These standards are developed in the ISO Conformity Assessment Committee, ISO/CASCO, with permanent involvement of experts from the IEC and its CA Systems. These standards in the ISO/IEC 17000 series, as well as a number of ISO/IEC Guides, are contained in what is familiarly called the CASCO Toolbox because they provide a full set of tools for anyone wishing to know how to carry out high-quality, consistent and reliable conformity assessment. [The idea of the "tool box" is that depending on the type of conformity assessment activities needed it is possible to simply pick the tool (standard). Some activities require just testing whilst others might have more CA activities e.g. testing inspection, certification, etc.]

This document provides indications about the process of how the ISO/IEC Standards and Guides are developed.

3.2 Roles and Definitions

ISO/CASCO

ISO Conformity Assessment Committee (CASCO) is not an ISO technical committee, but rather a policy development committee of the ISO Council that creates working groups to carry out specific revision and development of joint ISO/IEC International Standards and Guides on conformity assessment - it does not have subcommittees for this task.

(See ISO document QS-CAS-PROC-01.)

CABPUB

Since 2004, under the responsibility of the CAB, draft ISO/IEC standards and guides concerning conformity assessment (drafts which are developed in ISO/CASCO) have been submitted for comments and votes to IEC National Committees under the “CABPUB” label (derived from “future PUBLications in the domain of the CAB”). CABPUB is like an IEC Technical Committee (TC) in that draft standards and guides are circulated to its members for comment and/or vote. CABPUB is unlike an IEC TC in that it does not have any substructure (no subcommittees nor working groups) and does not directly develop standards or guides. All full members of IEC are P-members of CABPUB by default.

CASCO Working Groups

Working Groups (WG) are the specific means by which CASCO develop documents on conformity assessment. CASCO WGs operate in accordance with the ISO/IEC Directives, Part 1, Clause 1.12. CASCO WG's are made up of experts nominated by National Committees of IEC and member bodies of ISO and organizations in liaison.

CASCO WG – IEC relationship

The CASCO WG – IEC relationship is defined in the ISO/IEC Directives, Part 1, Annex B, Mode 5 cooperation.

CASCO Secretariat

The CASCO Secretariat is the secretariat for each of the CASCO Working Groups.

The role of the CASCO Secretariat officers at a CASCO WG meeting is similar to the combined role of a Technical Office and the Secretary at a TC plenary meeting. They ensure that the Directives are adhered to and take the meeting minutes. The CASCO Secretariat officers organise and attend all CASCO WG meetings. The CASCO Secretariat also maintains WG member's lists, ISO website document access rights, etc. The ISO/CASCO Secretariat reports to the ISO Council.

CAB Secretariat

The IEC CAB Secretariat is the link between ISO/CASCO and the IEC community. All CASCO documents for comment and/or voting by IEC National Committees are made available on the General Server as documents named under the CABPUB label, and also on the Technical Server for the information of CAB members. NCs and experts are notified of the circulation of these documents by the same mechanisms (Newdocs, MyNewDocs etc.) which exist for TC working documents, and the same search facilities are available as for other standardization projects. The CAB Secretariat maintains a list of IEC Coordinators for CASCO WGs and follows-up on meeting attendance and reports from those Coordinators. The CAB Secretariat reports to the CAB.

CASCO management groups

CASCO has three management groups,

- CASCO CPC – Chairman's Policy and Coordination Group,
This group gives explicit recognition to CASCO's policy role and also oversees the internal coordination of work amongst CASCO subgroups.
- CASCO STAR – Strategic Alliance and Regulatory Group,
This group is focused on promoting and communicating on conformity assessment matters. It facilitates the interaction between CASCO and sector schemes, CASCO and regulators, at regional and international level.
- CASCO TIG – Technical Interface Group
This group is focused on the relationship between ISO technical committees and CASCO. Its responsibility is to ensure a consistent approach to all conformity assessment issues in ISO technical committees.

Each management group meets twice a year, and IEC representatives can attend all meeting (usually it is the CAB Chairman and/or CAB Secretary who attend).

CASCO Road Map

The CASCO Road Map is a “living” document circulated by the CASCO Secretariat that indicates future CASCO work and provides prior notice to the ISO and IEC communities and to the market place of when ISO/IEC International Standards and Guides on conformity assessment are likely to be revised in the future. It normally provides a five years view of the future with respect to the review and maintenance of existing ISO/IEC Standards and Guides.

CASCO Meetings Calendar

The CASCO Meetings Calendar is a document that is maintained by the CASCO secretariat, and that is publically available through the ISO website. This document usually provides a 12 months running view of future CASCO WG meetings. It is circulated after each CASCO Plenary meeting and then regularly updated throughout the year. Each time a new meeting is added the experts concerned are informed, but not the wider ISO and IEC communities. It is very rare that a meeting date or place is modified once it is on the calendar, but when this does occur, the concerned parties are notified.

CASCO Project Portal

The CASCO Project Portal is a web based tool that provides a summary of the status of the current CASCO projects. It is publically available through the ISO website.

3.3 Procedures

Proposal Stage

For a new work item proposal (NP) (at ISO referred to as an NWIP), the ISO/IEC Directives, Part 1 and ISO Supplement apply.

ISO/IEC Directives, Part 1 clause 2.3.3 describes the particular relationship of ISO/CASCO and IEC/CABPUB:

2.3.3 Where both an ISO and an IEC technical committee are concerned, the Chief Executive Officers shall arrange for the necessary coordination. (See also Annex B.)

This current document is an aid in describing the “necessary coordination”.

Proposal

An NP can be submitted to ISO/CASCO in the two following ways:

- According to ISO/IEC Directives, Part 1 clause 2.3 and the ISO Supplement.
- Under ISO/IEC Directives, Part 1 clause 2.3.2, IEC/CABPUB can submit an NP to ISO/CASCO through the provision of the Chief Executive Officer. In order for IEC/CABPUB to submit an NP to ISO/CASCO, IEC/CABPUB must first have received an NP submission in accordance with the ISO/IEC Directives, Part 1 clause 2.3 and the IEC Supplement.

NP Circulation

When an NP has been proposed, ISO/CASCO will circulate it to all its CASCO members, the concerned TCs (if any) and A-liaisons, and to the IEC CAB Secretariat.

The IEC CAB Secretariat will circulate the NP under the CABPUB label to the IEC National Committees and to CAB members.

Vote and Comment

Votes and comments for the NP shall be returned within the 3 months period.

Those eligible to vote are ISO/CASCO P-members and IEC Full Members.

Those eligible to comment are ISO/CASCO P & O-members and A-liaisons, and all IEC NCs.

Acceptance Criteria

Acceptance of the NP is according to the ISO/IEC Directives, Part 1 clause 2.3.5, and requires both a simple majority of those voting and nomination of experts from at least 5 voting members.

The acceptance by IEC and by ISO is separate.

Voting Results

In the case where the NP is rejected by both IEC and ISO, then the project will be rejected.

In the case where the NP is accepted by both IEC and ISO, then the project will proceed in the normal way with both IEC and ISO participation and will eventually be published under a dual logo.

In the case where the NP is rejected by IEC and accepted by ISO, then the project will proceed but only with ISO participation and will eventually be published under an ISO logo.

In the (rare) case where the NP is accepted by IEC and rejected by ISO, then the project will be treated on a case-by-case basis through agreement by the IEC and ISO Chief Executive Officers.

Vote Results Notification

The result of voting on the NP will be circulated separately by IEC and ISO within 6 weeks of the close of the ballot.

Acceptance

If the NP is accepted, then ISO/CASCO will establish a new working group (WG) for, or assign an existing WG to, this task and will arrange for its first meeting to be held within 3 months (in accordance with ISO/IEC Directives Part 1, clause 1.12.1).

Following stages

For the following stages, WD, CD, CC, CDV, RVC, FDIS, RVD and publication, of the development of these ISO/IEC International Standards and Guides, the ISO/IEC Directives, Part 1 and ISO Supplement apply.

Maintenance

For the review and maintenance of existing ISO/IEC Standards and Guides, the ISO/IEC Directives, Part 1 and ISO Supplement apply.

The CASCO Road Map provides a five years view of the future with respect to the review and maintenance of existing ISO/IEC Standards and Guides.

3.4 IEC general indications

Procedures extraction from CABPUB/60/INF – 2012

1. All CASCO documents for comment or voting by IEC National Committees are made available on the General Server as documents named CABPUB/nnn/CD, CC, CDV, RVC, FDIS or RVD, and also on the Technical Server for the information of CAB members. NCs and experts are notified of the circulation of these documents by the same mechanisms (Newdocs, MyNewDocs etc.) which exist for TC working documents, and the same search facilities are available as for other standardization projects.

NOTE The prefix CABPUB is derived from “future PUBLications in the domain of the CAB”.

2. The closing date for comment / voting by IEC National Committees is the same as the date specified by ISO, or as close as possible to that date.
3. In order to help each country to coordinate consultations between the National Committee and the IEC CA System experts in the country, the cover page of each CABPUB draft contains the following text:

National Committees are strongly encouraged to consult the IECEE, IECQ and IECEx communities in their country when developing their national position on this draft.

4. The National Committees use the existing automated commenting and voting facilities of the IEC web site for these documents, and the Central Office uses the corresponding vote counting and comment consolidation facilities.
5. Upon receipt of a CASCO document the CAB Secretariat normally requests the IEC coordinator on the relevant CASCO WG to provide a commentary on the CASCO document for the purpose of providing information and / or advice to NCs in their consideration of the document. If the commentary provides information only, the Secretariat will take steps to make it available on the General and CAB Technical Servers as a CABPUB document referring to the draft concerned. If the commentary includes advice to NCs, it will be circulated to CAB members for comment (via the Technical Server) before being made available on the General Server (amended if considered necessary by the CAB).

IEC Coordinator to CASCO WG

At the vote on NP stage, in order for the new project to be accepted by IEC, in addition to a majority vote, at least 5 National Committees (NCs) must each nominate at least one expert. Further experts can be nominated at a later stage by IEC NCs if necessary. The experts are nominated with the expectation that they attend CASCO WG meetings and participate in the development of the standard or guide. One of those experts will be nominated as the IEC Coordinator to the specific CASCO WG.

It is the responsibility of the Coordinator to report to the CAB on the activities and status of the CASCO WG's work, to notify the CAB in a timely manner of matters of concern, and to provide recommendations to CAB when and where appropriate.

If the Coordinator cannot attend a CASCO WG meeting, it is their responsibility to ensure that at least one other IEC representative will attend. Providing a report to CAB remains the responsibility of the Coordinator, although the action of writing the report can be delegated.

CAB Secretariat

It is the CAB Secretariat's responsibility to inform the CAB community and the IEC NCs about the activities of the ISO/CASCO WGs, through the circulation of documents under the CABPUB label, IEC Coordinator reports and reports to the CAB. See the section Procedures extraction from CABPUB/60/INF – 2012, above.

In addition, the CAB Secretariat shall assist the IEC Coordinators in their responsibilities by informing them, and when necessary reminding them, of up-coming meetings; by aiding their delegation of participation in CASCO WG meetings, if necessary; by follow-up on Coordinators reports from CASCO WG meetings, and so on.

3.5 Reference documents

CAB/457/DV - 2004

CABPUB/60/INF - 2012

QS-CAS-PROC-01

ISO/IEC Directives

ISO/IEC Directives, Part 1: Consolidated ISO Supplement – Procedures specific to ISO

Annex A**IEC Coordinator's Report Template**

Report to the CAB from IEC Coordinator in ISO/CASCO Group:

WG xx

1. Type of report:	Periodic report to CAB
2. Date of report:	
3. Name of Coordinator reporting:	<i>{add IEC CAB Coordinator for CASCO WG}</i>
4. Date and place of meeting:	
5. Title/full name of ISO/CASCO group:	ISO/CASCO WG xx
6. Abstract of its subject:	Terms of Reference <i>{add terms of reference or scope}</i>
7. Current project(s) & planned deliverable(s)	
8. Relevance and interest of group's work & deliverables to IEC and the IEC Conformity Assessment (CA) Schemes (incl. what IEC's interests are in this work, and how well they have been satisfied):	
9. Issues, controversies or difficulties, current or potential, incl. foreseeable steps and schedules for their resolution:	
10. Further or background information:	
11. Specific recommendations to the CAB:	
12. Specific recommendations to IEC National Committees (when commenting or voting on draft):	
13. Opinion(s) of other IEC representative(s) in the same group:	

*{Name}*IEC Coordinator ISO/CASCO WG **xx**

Addendum Members of CASCO WG xx

Membership

Convener:

Members:

Liaisons:

CASCO Secretariat: Mr Sean Mac Curtain (CASCO Secretary)
Mr Laurent Charlet (Project Manager)
Ms Anna Koroleva (Project Manager)
Ms Madeleine Emorine (Assistant)

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