

Proposed Draft of the Independence Worksheet

Directions: Complete the following worksheet, which evaluates the Nationally Recognized Testing Laboratory's (NRTL's) or NRTL applicant's compliance with the NRTL Program Independence Policy. The directions throughout the worksheet will ask you about the ownership structure of your organization, and, based on your responses, guide you to other sections in the worksheet for additional responses.

For some questions, the worksheet outlines specific information, which you must include with your response, and a suggested format for providing the information. Note that the format is merely a suggestion, and OSHA will accept the information in an alternate form. If provide the information in the suggested format and you need additional space to provide the information, insert additional rows in the tables provided as needed.

Where indicated, provide the requested verification. Verification must be in the form of a business document or Internet source. The worksheet provides examples of types of documents that will meet this requirement. Note that the list of examples is not exhaustive. You may provide other appropriate types of documents to verify your response. If attaching a document to verify your response, provide the name of the attached document in the space provided. If providing a link to a document or an Internet source, provide the link in the space provided.

Based on your responses to the worksheet, the worksheet may direct you to "Part IV: Outcomes," which provide guidance on various resolutions OSHA may accept and various conditions OSHA may impose that might allow an NRTL or NRTL applicant that is not in compliance with the NRTL Independence Policy to obtain or retain NRTL recognition. There are three separate outcomes listed in Part IV; respond only to the outcome(s) to which the directions in the worksheet guide you. When responding to an outcome, follow the instructions and guidance contained in the outcome for how to respond. The worksheet may direct you to Part IV multiple times; each time you are directed to Part IV, fill in a separate entry in the relevant chart, as directed by the instructions in Part IV. Additionally, attach any information or documentation requested by the instructions.

Once you have submitted your worksheet and all accompanying materials, OSHA will evaluate the information you provide, including your proposed resolution(s) to your nonconforming situation(s) with the NRTL Program Independence Policy (if any) within 45 days of receiving the packet. If no nonconforming situations were identified, and all responses and information provided are adequate, OSHA will issue a final determination regarding the NRTL's or applicant's compliance with the NRTL Program Independence Policy. If you were required to submit proposed resolution(s) to your nonconforming situation(s), OSHA will schedule an in-person meeting with the NRTL or applicant to discuss your proposed resolution(s). Following this meeting, the NRTL or applicant will have 30 days to submit any changes to its proposed resolution(s). Within 30 days of receiving the changes to your proposed resolution(s), OSHA will issue a final determination regarding the NRTL or applicant's proposed resolution(s) and compliance with the NRTL Program Independence Policy.

Part I: Ownership

Directions Specific to Part I: For Questions 2(a) through 8(b), respond to the questions and provide the information and verification for the immediate owner(s) of the NRTL or applicant only. Information pertaining to additional owners found in the ownership structure of the NRTL or applicant should be provided in Part III. If the NRTL or applicant has more than one immediate owner, complete this section for each immediate owner.

1. Describe the ownership structure of the NRTL or applicant (e.g., sole proprietorship, partnership, nonprofit, limited liability company, ownership by one or more parents, publically traded, government owned, owned by a trade association).

Response:

Verification Requested:

Verification: (Verify the ownership structure of the NRTL or applicant. Verification may include, but is not limited to, an organizational chart, bylaws, articles of incorporation, and/or business license)

2(a) Describe the business purpose of the immediate owner(s) of the NRTL or applicant.

Response:

Verification Requested:

Verification: (Verify the business purpose of the owner. Verification may include, but is not limited to, a link to the owner's website and/or marketing materials.)

2(b) Is the immediate owner(s) of the NRTL or applicant (1) a manufacturer or supplier of any products requiring NRTL approval,¹ (2) engaged in consulting or other types of services related to the design of products requiring NRTL approval, and/or (3) a trade group or association representing manufacturers or suppliers of products requiring NRTL approval?

Yes _____ No _____

➤ If you responded **YES** to Question 2(b), proceed to Question 2(c).

¹ A list of the types of products requiring NRTL approval may be found at:
<http://www.osha.gov/dts/otpca/nrtl/prodcatg.html>.

- If you responded **NO** to Question 2(b), proceed to Question 3(a).

2(c) Is the product(s) requiring NRTL approval a type of product(s) that is or could be tested and certified under a test standard currently included in your NRTL scope of recognition or a test standard you are applying to include in your NRTL scope of recognition?

Yes _____ No _____

- If you responded **YES** to Question 2(c), provide in Table A the information requested for the owners or shareholders that meet one of the descriptions in Question 2(b), and see [Part IV Outcome A](#). Then, proceed to Question 3(a).
- If you responded **NO** to Question 2(c), provide in Table A the information requested for the owners or shareholders that meet one of the descriptions in Question 2(b), and see [Part IV Outcome C](#). Then, proceed to Question 3(a).

Information Requested:

Table A

<u>Owner/Shareholder – Name</u>	<u>Product(s) requiring NRTL approval</u>	<u>Test Standard(s)</u>

3(a) Is the immediate owner(s) of the NRTL or applicant employed by, and/or does any owner of the NRTL or applicant have any governance responsibilities (e.g., a Board of Director position) with a manufacturer or supplier of any products requiring NRTL approval?

Yes _____ No _____

- If you responded **YES** to Question 3(a), provide in Table B the information requested for **only** those owners that are employed by, and/or have any governance responsibilities with a manufacturer or supplier of any products requiring NRTL approval, and provide the verification requested. Then, proceed to Question 3(b).
- If you responded **NO** to Question 3(a), proceed to Question 4(a).

Information and Verification Requested:

Table B

<u>Owner – Name</u>	<u>Employment and/or Governance Responsibilities with the Manufacturer or Supplier – Fill in position (e.g., Chairman of the Board)</u>	<u>Business Purpose of the Manufacturer or Supplier:</u>

Verification: (Verify the business purpose of the manufacturer or supplier. Verification may include, but is not limited to, a link to the manufacturer's or supplier's website and/or marketing materials.)

3(b) Is the product (s) requiring NRTL approval a type of product(s) that is or could be tested and certified under a test standard currently included in your NRTL scope of recognition or a test standard you are applying to include in your NRTL scope of recognition?

Yes _____ No _____

- If you responded **YES** to Question 3(b), provide in Table C the information requested for those manufacturers or suppliers of products requiring NRTL approval where the owners identified in Table B are employed or have governance responsibilities, and see [Part IV Outcome A](#). Then, proceed to Question 4(a).
- If you responded **NO** to Question 3(b) provide in Table C the information requested for those manufacturers or suppliers of products requiring NRTL approval where individuals identified in Table B are employed or have governance responsibilities, and see [Part IV Outcome C](#). Then, proceed to Question 4(a).

Information Requested:

Table C

<u>Owner/Shareholder – Name</u>	<u>Product(s) requiring NRTL approval</u>	<u>Test Standard(s)</u>

4(a) Does the immediate owner(s) of the NRTL or applicant own any subsidiaries that are (1) a manufacturer or supplier of products requiring NRTL approval, (2) engaged in consulting or other types of services related to the design of products requiring NRTL approval, and/or (3) a trade group or association representing manufacturers or suppliers of products requiring NRTL approval?

Yes _____ No _____

- If you responded **YES** to Question 4(a), provide in Table D the information requested for **only** those subsidiaries that meet one of the descriptions in Question 4(a), as well as the verification requested. Then, proceed to Question 4(b).
- If you responded **NO** to Question 4(a), proceed to Question 5.

Information and Verification Requested:

Table D

<u>Subsidiary - Name:</u>	<u>Business Purpose of the Subsidiary:</u>

Verification: (Verify the business purpose of the subsidiary. Verification may include, but is not limited to, a link to the subsidiary's website and/or marketing materials.)

4(b) Is the product(s) requiring NRTL approval a type of product(s) that is or could be tested and certified under a test standard currently included in your NRTL scope of recognition or a test standard you are applying to include in your NRTL scope of recognition?

Yes _____ No _____

- If you responded **YES** to Question 4(b), provide in Table E the information requested for those subsidiaries identified in Table D, and see [Part IV Outcome A](#). Then, proceed to Question 5.
- If you responded **NO** to Question 4(b), provide in Table E the information requested for those subsidiaries identified in Table D, and see [Part IV Outcome C](#). Then, proceed to Question 5.

Information Requested:

Table E

<u>Subsidiary – Name</u>	<u>Product(s) requiring NRTL approval</u>	<u>Test Standard(s)</u>

5. Identify any individuals responsible for the governance of the immediate owner(s) of the NRTL or applicant (e.g., board of directors, advisory committees, a member organization, or trade association). Include only those individuals that have actual decision-making responsibility, such as the ability to influence company operations, the selection of the board of directors, or the selection of key personnel.

Response:

Verification Requested:

Verification: (Verify the individuals responsible for the governance of the owner(s) of the NRTL or applicant. Verification may include, but is not limited to, a copy of the owner's annual report, and/or a link to the owner's website that provided information about the owner's governance structure.)

- Proceed to Question 6(a).

6(a) Are any of the individuals identified in Question 5 employed by, and/or do any of these individuals have any governance responsibilities (e.g., a Board of Director position) with a manufacturer or supplier of products requiring NRTL approval?

Yes _____ No _____

- If you responded **YES** to Question 6(a), provide in Table F the information requested for **all** the individuals identified in Question 5, as well as the verification requested. Then, proceed to Question 6(b).
- If you responded **NO** to Question 6(a), provide in Table F the information requested for **all** the individuals identified in Question 5, as well as the verification requested. Then, proceed to Question 7.

Information and Verification Requested:

Table F

<u>Name of Individual</u>	<u>Any Employment and/or Governance Responsibilities – Fill in organization name and position (e.g., Chairman of the Board)</u>	<u>Business Purpose of the Employer or Organization where Individual has Governance Responsibilities:</u>

Verification: (Verify the business purpose of the employer or organization where the individual has governance responsibilities. Verification may include, but is not limited to, a link to the employer's or organization's website and/or marketing materials.)

6(b) Is the product(s) requiring NRTL approval a type of product(s) that is or could be tested and certified under a test standard currently included in your NRTL scope of recognition or a test standard you are applying to include in your NRTL scope of recognition?

Yes _____ No _____

- If you responded **YES** to Question 6(b), provide in Table G the information requested for **only** the manufacturers or suppliers of products requiring NRTL approval where individuals identified in Table F are employed by, and/or have governance responsibilities, and see [Part IV Outcome D](#). Then, proceed to Question 7.
- If you responded **NO** to Question 6(b), provide in Table G the information requested for **only** the manufacturers or suppliers of products requiring NRTL approval where individuals identified in Table F are employed by, and/or have governance responsibilities, and see [Part IV Outcome C](#).

Then, proceed to Question 7.

Information Requested:

Table G

<u>Manufacturer or Supplier – Name</u>	<u>Product(s) requiring NRTL approval</u>	<u>Test Standard(s)</u>

7. Identify the following key personnel:

(a) Who is responsible for managing the overall operations of the owner(s) of the NRTL or applicant (e.g., CEO, President)?

Name: _____ Title: _____

(b) Who is responsible for managing the day-to-day operations of the owner(s) of the NRTL or applicant (e.g., COO, Vice President of Operations)?

Name: _____ Title: _____

(c) Who is responsible for managing the financial operation of the owner(s) of the NRTL or applicant (e.g., CFO, Vice President of Finance)?

Name: _____ Title: _____

➤ Proceed to Question 8.

8(a) Are any of the individuals identified in Question 7 employed by, and/or do any of the individuals have any governance responsibilities (e.g., a Board of Director position) with a manufacturer or supplier of products requiring NRTL approval?

Yes _____ No _____

➤ If you responded **YES** to Question 8(a), provide in Table H the information requested for **all** the individuals identified in Question 7, as well as the verification requested. Then, proceed to Question 8(b).

➤ If you responded **NO** to Question 8(a), provide in Table H the information requested for **all** the individuals identified in Question 7, as well as the verification requested. Then, proceed to **Part II**.

Information and Verification Requested:

Table H

Name of Individual	Any Employment and/or Governance Responsibilities – Fill in organization name and position (e.g., Chairman of the Board)	Business Purpose of the Employer or Organization where Individual has Governance Responsibilities:

Verification: (Verify the business purpose of the employer or organization where the individual has governance responsibilities. Verification may include, but is not limited to, a link to the employer’s or organization’s website and/or marketing materials.)

8(b) Is the product(s) requiring NRTL approval a type of product(s) that is or could be tested and certified under a test standard currently included in your NRTL scope of recognition or a test standard you are applying to include in your NRTL scope of recognition?

Yes _____ No _____

- If you responded **YES** to Question 8(b), provide in Table I the information requested for **only** the manufacturers or suppliers of products requiring NRTL approval where individuals identified in Table H are employed by, and/or have governance responsibilities, and see [Part IV Outcome B](#). Then, proceed to **Part II**.
- If you responded **NO** to Question 8(b), provide in Table I the information requested for **only** the manufacturers or suppliers of products requiring NRTL approval where individuals identified in Table H are employed by and/or have governance responsibilities, and see [Part IV Outcome C](#). Then, proceed to **Part II**.

Information Requested:

Table I

Manufacturer or Supplier – Name	Product(s) requiring NRTL approval	Test Standard(s)

Part II: NRTL or Applicant

9(a) Describe the business purpose of the NRTL or applicant.

Response:

Verification Requested:

Verification: (Verify the business purpose of the NRTL or applicant. Verification may include, but is not limited to, a link to the NRTL's or applicant's website and/or marketing materials.)

9(b) Are you (1) a manufacturer or supplier of products requiring NRTL approval, (2) engaged in consulting or other types of services related to the design of products requiring NRTL approval, and/or (3) a trade group or association representing manufacturers or suppliers of products requiring NRTL approval?

Yes _____ No _____

- If you responded **YES** to Question 9(b), proceed to Question 9(c).
- If you responded **NO** to Question 9(b), proceed to Question 10(a).

9(c) Is the product(s) requiring NRTL approval a type of product(s) that is or could be tested and certified under a test standard currently included in your NRTL scope of recognition or a test standard you are applying to include in your NRTL scope of recognition?

Yes _____ No _____

- If you responded **YES** to Question 9(c), provide in Table J the information requested, and see [Part IV Outcome A](#). Then, proceed to Question 10(a).
- If you responded **NO** to Question 9(c), provide in Table J the information requested, and see [Part IV Outcome C](#). Then, proceed to Question 10(a).

Information Requested:

Table J

<u>Product(s) requiring NRTL approval</u>	<u>Test Standard(s)</u>

10(a) Do you own any subsidiaries that are (1) a manufacturer or supplier of any products requiring NRTL approval, (2) engaged in consulting or other types of services related to the design of products requiring NRTL approval, and/or (3) a trade group or association representing manufacturers or suppliers of products requiring NRTL approval?

Yes _____ No _____

- If you responded **YES** to Question 10(a), provide in Table K the information requested for **all** the subsidiaries owned by the NRTL or applicant, as well as the verification requested. Then, proceed to Question 10(b).
- If you responded **NO** to Question 10(a), provide in Table K the information requested for **all** the subsidiaries owned by the NRTL or applicant, as well as the verification requested. Then, proceed to Question 11.

Information and Verification Requested:

Table K

<u>Subsidiary:</u>	<u>Business Purpose of the Subsidiary:</u>

Verification: *(Verify the business purpose of the subsidiary. Verification may include, but is not limited to, a link to the subsidiary's website and/or marketing materials.)*

10(b) Is the product(s) requiring NRTL approval a type of product(s) that is or could be tested and certified under a test standard currently included in your NRTL scope of recognition or a test standard you are applying to include in your NRTL scope of recognition?

Yes _____ No _____

- If you responded **YES** to Question 10(b), provide in Table L the information requested for **only** those subsidiaries that meet one of the descriptions in Question 10(a), and see [Part IV Outcome A](#). Then, proceed to Question 11.
- If you responded **NO** to Question 10(b), provide in Table L the information requested for **only** those subsidiaries that meet one of the descriptions in Question 10(a), and see [Part IV Outcome C](#). Then, proceed to Question 11.

Information Requested:

Table L

<u>Subsidiary – Name</u>	<u>Product(s) requiring NRTL approval</u>	<u>Test Standard(s)</u>

11. Identify any individuals responsible for the governance of the NRTL or applicant (e.g., board of directors, advisory committees, a member organization, or trade association). Include only those individuals that have actual decision-making responsibility, such as the ability to influence company operations, the selection of the board of directors, or the selection of key personnel.

Response:

Verification Requested:

Verification: (Verify the individuals responsible for the governance of the NRTL or applicant. Verification may include, but is not limited to, a copy of the NRTL's or applicant's annual report, and/or a link to the NRTL's or applicant's website that provided information about the NRTL's or applicant's governance structure.)

- Proceed to Question 12(a).

12(a) Are any of the individuals identified in Question 11 employed by, and/or do any of the individuals have any governance responsibilities (e.g., a Board of Director position) with a manufacturer or supplier of products requiring NRTL approval?

Yes _____ No _____

- If you responded **YES** to Question 12(a), provide in Table M the information requested for **all** the individuals identified in Question 11, as well as the verification requested. Then, proceed to Question 12(b).
- If you responded **NO** to Question 12(a), provide in Table M the information requested for **all** the individuals identified in Question 11, as well as the verification requested. Then proceed to Question 13.

Information and Verification Requested:

Table M

<u>Name of Individual</u>	<u>Any Employment and/or Governance Responsibilities – Fill in organization name and position (e.g., Chairman of the Board)</u>	<u>Business Purpose of the Employer or Organization where Individual has Governance Responsibilities:</u>

Verification: (Verify the business purpose of the employer or organization where the individual has governance responsibilities. Verification may include, but is not limited to, a link to the employer's or organization's website and/or

marketing materials.)

12(b) Is the product(s) requiring NRTL approval a type of product(s) that is or could be tested and certified under a test standard currently included in your NRTL scope of recognition or a test standard you are applying to include in your NRTL scope of recognition?

Yes _____ No _____

- If you responded **YES** to Question 12(b), provide in Table N the information requested for **only** the manufacturers or suppliers of products requiring NRTL approval where individuals identified in Table M are employed by, and/or have governance responsibilities, and see [Part IV Outcome D](#). Then, proceed to Question 13.
- If you responded **NO** to Question 12(b), provide in Table N the information requested for **only** the manufacturers or suppliers of products requiring NRTL approval where individuals identified in Table M are employed by, and/or have governance responsibilities, and see [Part IV Outcome C](#). Then, proceed to Question 13.

Information Requested:

Table N

<u>Manufacturer or Supplier – Name</u>	<u>Product(s) requiring NRTL approval</u>	<u>Test Standard(s)</u>

13. Identify the following key personnel:

- a. Who is responsible for managing the overall operations of the NRTL or applicant (e.g., CEO, President)?

Name: _____ Title: _____

- b. Who is responsible for managing the day-to-day operations of the NRTL or applicant (e.g., COO, Vice President of Operations)?

Name: _____ Title: _____

- c. Who is responsible for managing the financial operations of the NRTL or applicant (e.g., CFO, Vice President of Finance)?

Name: _____ Title: _____

- d. Who is responsible for managing the testing operations?

Name: _____ Title: _____

e. Who is responsible for managing the certification operations?

Name: _____ Title: _____

➤ Proceed to Question 14(a).

14(a) Are any of the individuals identified in Question 13 employed by, and/or do any individuals have any governance responsibilities (e.g., a Board of Director position) with a manufacturer or supplier products requiring NRTL approval?

Yes _____ No _____

- If you responded **YES** to Question 14(a), provide in Table O the information requested for **all** the individuals identified in Question 13, as well as the verification requested. Then, proceed to 14(b).
- If you responded **NO** to Question 14(b), provide in Table O the information requested for **all** the individuals identified in Question 13, as well as the verification requested. Then, proceed to **Part III**.

Information and Verification Requested:

Table O

<u>Name of Individual</u>	<u>Any Employment and/or Governance Responsibilities – Fill in organization name and position (e.g., Chairman of the Board)</u>	<u>Business Purpose of the Employer or Organization where Individual has Governance Responsibilities:</u>

Verification: *(Verify the business purpose of the employer or organization where the individual has governance responsibilities. Verification may include, but is not limited to, a link to the employer's or organization's website and/or marketing materials.)*

14(b) Is the product(s) requiring NRTL approval a type of product(s) that is or could be tested and certified under a test standard currently included in your NRTL scope of recognition or a test standard you are applying to include in your NRTL scope of recognition?

Yes _____ No _____

- If you responded **YES** to Question 14(b), provide in Table P the information requested for **only** the manufacturers or suppliers of products requiring NRTL approval where individuals identified

in Table O are employed by, and/or have governance responsibilities, and see [Part IV Outcome B](#). Then, proceed to **Part III**.

- If you responded **NO** to Question 14(b), provide in Table P the information requested for **only** the manufacturers or suppliers of products requiring NRTL approval where individuals identified in Table O are employed by, and/or have governance responsibilities, and see [Part IV Outcome C](#). Then, proceed to **Part III**.

Information Requested:

Table P

<u>Manufacturer or Supplier – Name</u>	<u>Product(s) requiring NRTL approval</u>	<u>Test Standard(s)</u>

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Part III: Additional Information

15(a) Are there any owners, subsidiaries, entities, or organizations in the overall corporate, ownership, or operational structure of the NRTL or applicant (other than those already listed in Parts I and II) that also are manufacturers or suppliers of products requiring NRTL approval?

Yes _____ No _____

- If you responded **YES** to Question 15(a), provide in Table Q the information requested for **only** those owners, subsidiaries, entities, or organizations that are manufacturers or suppliers of NRTL products, as well as the verification requested. Then, proceed to Question 15(b).
- If you responded **NO** to Question 15(a), proceed to Question 16.

Information and Verification Requested:

Table Q

<u>Owner/Subsidiary/Entity/Organization:</u>	<u>Business Purpose of the Owner/Subsidiary/Entity/Organization</u>

Verification: (Verify the business purpose of the owner/subsidiary/entity/organization. Verification may include, but is not limited to, a link to the owner's, subsidiary's, entity's, or organization's website and/or marketing materials.)

16(b) Is the product(s) requiring NRTL approval a type of product(s) that is or could be tested and certified under a test standard currently included in your NRTL scope of recognition or a test standard you are applying to include in your NRTL scope of recognition?

Yes _____ No _____

- If you responded **YES** to Question 16(b), provide in Table R the information requested for those owners/subsidiaries/entities/organizations identified in Table Q, and see [Part IV Outcome A](#). Then, proceed to Question 18.
- If you responded **NO** to Question 16(b), provide in Table R the information requested for those owners/subsidiaries/entities/organizations identified in Table Q, and see [Part IV Outcome C](#). Then proceed to Question 18.

Information Requested:

Table R

<u>Owner/Subsidiary/Entity/Organization – Name</u>	<u>Product(s) requiring NRTL approval</u>	<u>Test Standard(s)</u>

17(a) Are there any individuals in the overall corporate, ownership or operational structure of the NRTL or applicant (other than those already listed in Parts I and II) that are employed by, and/or do any of these individuals have any governance responsibilities (e.g., a Board of Director position) with a manufacturer or supplier of products requiring NRTL approval?

Yes _____ No _____

- If you responded **YES** to Question 17(a), provide in Table S the information requested for **only** those individuals that are employed by, and/or have any governance responsibilities (e.g., a Board of Director position) with a manufacturer or supplier of NRTL products, as well as the verification requested. Then, proceed to Question 17(b).
- If you responded **NO** to Question 17(a), you have finished responding to all the questions in this worksheet.

Information and Verification Requested:

Table S

<u>Name of Individual</u>	<u>Any Employment and/or Governance Responsibilities – Fill in organization name and position (e.g., Chairman of the Board)</u>	<u>Business Purpose of the Employer or Organization where Individual has Governance Responsibilities:</u>

Verification: (Verify the business purpose of the employer or organization where the individual has governance responsibilities. Verification may include, but is not limited to, a link to the employer's or organization's website and/or marketing materials.)

17(b) Is the product(s) requiring NRTL approval a type of product(s) that is or could be tested and certified under a test standard currently included in your NRTL scope of recognition or a test standard you are applying to include in your NRTL scope of recognition?

Yes _____ No _____

- If you responded **YES** to Question 17(b), provide in Table T the information requested for the manufacturers or suppliers of products requiring NRTL approval where individuals identified in Table S are employed by, and/or have governance responsibilities, and see **Part IV Outcome D**.
- If you responded **NO** to Question 17(b), provide in Table T the information requested for the

manufacturers or suppliers of products requiring NRTL approval where individuals identified in Table T are employed by, and/or have governance responsibilities, and see [Part IV Outcome C](#).

Information Requested:

Table T

<u>Manufacturer or Supplier – Name</u>	<u>Product(s) requiring NRTL approval</u>	<u>Test Standard(s)</u>

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Part IV: Outcomes

Outcome A:

You do not comply with the NRTL Independence Policy. If you wish to continue with the application process, submit to OSHA, in writing, specific details on how you plan to resolve the nonconforming situation, and provide any necessary documentation to substantiate your response.

To resolve situations that fall in Outcome A, the NRTL or applicant must propose a resolution that prevents the NRTL or applicant from testing the product(s) of the manufacturer or supplier that led to this outcome. Situations that fall in Outcome A are more complex due to the close connection that exists between the NRTL or applicant, or the owner of the NRTL or applicant, and a manufacturer or supplier of products requiring NRTL approval. Additionally, the product(s) requiring NRTL approval is a type of product(s) that is or could be tested and certified under a test standard currently included in your NRTL scope of recognition or a test standard you are applying to include in your NRTL scope of recognition. As a result, a clear example for resolving a situation that falls into Outcome A is not available. Rather, a multitude of resolutions and conditions may apply to a situation that falls into this outcome and may include conditions beyond those found in Outcome C and Outcome D.

Your submission must also include specific details on how OSHA will be able to monitor your compliance with the terms of the conditions you are proposing. OSHA will review your submission and decide whether your proposed conditions adequately resolve the nonconforming situation.

Complete the chart below indicating the question(s) that led you to this outcome and the title of any documents attached to this worksheet that form your response.

<u>Question #</u>	<u>Documents Attached</u>

Outcome B:

You do not comply with the NRTL Independence Policy. If you wish to continue with the application process, submit to OSHA, in writing, specific details on how you plan to resolve the nonconforming situation, and provide any necessary documentation to substantiate your response.

To resolve situations that fall in Outcome B, the NRTL or applicant must propose a resolution that prevents the employee of the NRTL or applicant, or the employee of the owner of the NRTL or applicant, from making decisions regarding the testing and certification of the product(s) of the manufacturer or supplier. Situations that fall in Outcome B are more complex due to the close connection that exists between the NRTL or applicant, or the owner of the NRTL or applicant, and a manufacturer or supplier of products requiring NRTL approval. Additionally, the product(s) requiring NRTL approval is a type of product(s) that is or could be tested and certified under a test standard currently included in your NRTL scope of recognition or a test standard you are applying to include in your NRTL scope of recognition. As a result, a clear example for resolving a situation that falls into Outcome B is not available. Rather, a multitude of resolutions and conditions may apply to a situation that falls into this outcome and may include conditions beyond those found in Outcome C and Outcome D.

Your submission must also include specific details on how OSHA will be able to monitor your compliance with the terms of the conditions you are proposing. OSHA will review your submission and decide whether your proposed conditions adequately resolve the nonconforming situation.

Complete the chart below indicating the question(s) that led you to this outcome and the title of any documents attached to this worksheet that form your response.

<u>Question #</u>	<u>Documents Attached</u>

Outcome C:

You do not comply with the NRTL Independence Policy. If you wish to continue with the application process, submit to OSHA, in writing, specific details on how you plan to resolve the nonconforming situation, and provide any necessary documentation to substantiate your response.

To resolve situations that fall in Outcome C, the NRTL or applicant must propose a resolution that prevents the NRTL or applicant from testing the product of the manufacturer or supplier that led to this outcome. For example, depending on the circumstances of the situation, a resolution may include OSHA issuing a condition as part of your recognition that excludes the test standard(s) that applies to the product(s) of the manufacturer or supplier from your scope of recognition as long as the current situation remains. However, this example may not be appropriate for all situations the fall in Outcome C or it may be appropriate but with additional conditions imposed.

Your submission must also include specific details on how OSHA will be able to monitor your compliance with the terms of the conditions you are proposing. OSHA will review your submission and decide whether your proposed conditions adequately resolve the nonconforming situation.

Complete the chart below indicating the question(s) that led you to this outcome and the title of any documents attached to this worksheet that form your response.

<u>Question #</u>	<u>Documents Attached</u>

Outcome D:

You do not comply with the NRTL Independence Policy. If you wish to continue with the application process, submit to OSHA, in writing, specific details on how you plan to resolve the nonconforming situation, and provide any necessary documentation to substantiate your response.

To resolve situations that fall in Outcome D, the NRTL or applicant must propose a resolution that prevents the individual with governance responsibilities from making decisions regarding the testing and certification of the product(s) of the manufacturer or supplier. For example, depending on the circumstances, a resolution to your nonconforming situation may include the individual with governance responsibilities certifying in writing that he or she: (a) has decision-making responsibilities for the NRTL

or applicant, owner, or other organization in the ownership or corporate structure of the NRTL or applicant; (b) is employed by, or has decision-making responsibilities for, an organization that manufactures or supplies products requiring NRTL approval; and (c) will abstain from participating in his or her capacity as a decision-maker for the NRTL or applicant, owner of the NRTL or applicant, or other organization in the ownership or corporate structure of the NRTL or applicant on any matters that involve the organization that manufactures or supplies products requiring NRTL approval. The resolution also may include OSHA issuing a condition as part of your recognition requiring you to make available to OSHA any and all meeting minutes of the governance body of the NRTL or applicant, owner of the NRTL or applicant, or other organization in the ownership or corporate structure of the NRTL or applicant to ensure that the organization is complying with the terms of the above-stated agreement. However, this example may not be appropriate for all situations the fall in Outcome D or it may be appropriate but with additional conditions imposed.

Your submission must also include specific details on how OSHA will be able to monitor your compliance with the terms of the conditions you are proposing. OSHA will review your submission and decide whether your proposed conditions adequately resolve the nonconforming situation.

Complete the chart below indicating the question(s) that led you to this outcome and the title of any documents attached to this worksheet that form your response.

Question #	Documents Attached

As legal signatory for _____, the NRTL applicant, I attest that all statements and information contained in this application are correct to the best of my knowledge and are made in good faith.

Legal signatory (Type or print name): _____

Signature: _____

Date: _____