



# OSHA INSTRUCTION

U.S. DEPARTMENT OF LABOR

Occupational Safety and Health Administration

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DIRECTIVE NUMBER: CPL-01-00-004

EFFECTIVE DATE: October 1, 2019

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SUBJECT: NRTL Program Policies, Procedures, and Guidelines

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## ABSTRACT

- Purpose:** This Directive sets forth policies, procedures, and interpretations that supplement and clarify the Nationally Recognized Testing Laboratory (NRTL) Program regulation, 29 CFR 1910.7 and Appendix A to that section.
- Scope:** All OSHA offices engaged in or supporting the operations of the OSHA NRTL Program.
- References:** 29 CFR 1910.7; Federal Register notices 53 FR 12102 (4/12/1988), 65 FR 46798 (7/31/2000), 76 FR 10500 (2/25/2011); and OSHA Directive CSP-01-01-022 (formerly STP 2-1.147A) – Safety Testing or Certification of Certain Workplace Equipment and Materials, (8/7/1989).
- Cancellations:** OSHA Directive CPL 01-00-003, NRTL Program Policies, Procedures and Guidelines (12/2/1999); Application Guidelines for the OSHA NRTL Program, (10/1/2000); and all policies, procedures and interpretations contained in Federal Register notices 60 FR 12980 (3/9/1995), and 74 FR 923 (1/9/2009) are hereby rescinded.
- Regional and State Impact:** Regional Administrators (RAs) and Area Directors (ADs) will ensure that this Instruction is forwarded to appropriate administrative and compliance staff to review for changes pertinent to their areas of responsibility. RAs will also ensure that this Instruction is forwarded to each State Designee. As detailed in CSP 01-01-022 (formerly STP 2-1.147A), State Plan States are encouraged to adopt standards that rely on NRTLs recognized by Federal OSHA, but State Plan States choosing to establish their own program for recognizing testing laboratories may do so as long as they:

1. Establish a program which is at least as effective as the OSHA NRTL Program.
2. Accept certifications of NRTLs recognized by OSHA for testing of equipment and materials where State safety requirements are the same as the Federal.
3. Ensure that organizations receiving State recognition understand that it applies only within that State.

**Action Offices:** National, Regional, and Area Offices, OSHA Training Institute, and State Plan States

**Originating Office:** Directorate of Technical Support and Emergency Management

**Contact:** Director, Office of Technical Programs and Coordination Activities  
N3661, Frances Perkins Building  
200 Constitution Avenue NW  
Washington, DC 20210

Phone: (202) 693-2110

Fax: (202) 693-1644

By and Under the Authority of

Loren Sweatt  
Principal Deputy Assistant Secretary

## **Executive Summary**

This Directive provides policies, procedures, and instructions that supplement and clarify the NRTL Program regulation, 29 CFR 1910.7 and Appendix A to that Section.

## **Significant Changes**

In this Directive, OSHA revises existing policies regarding compliance with meeting the criteria in the NRTL Program regulation, 29 CFR 1910.7, for recognition as a NRTL. Under the revised policy, OSHA deems compliance with the applicable criteria in ISO/IEC 17025:2005, *General requirements for the competence of testing and calibration laboratories*; and ISO/IEC 17065:2012, *Conformity Assessment – Requirements for bodies certifying products, processes and services*; and the corresponding testing and certification policies in this Directive, as compliance with the requirements for recognition under the NRTL Program regulation. This revision impacts several OSHA policies and creates several new policies. Significant revisions include:

1. A revision to OSHA's policy on how NRTLs can comply with the requirement in the NRTL Program regulation that NRTLs be "completely independent" of employers subject to the tested equipment requirements and of any manufacturers or vendors of equipment or materials being tested for these purposes, 29 CFR 1910.7(b)(3). The revised policy focuses on the NRTL's ability to effectively identify, eliminate and control any risk to its impartiality.
2. A revision to OSHA's policies and procedures on supplemental programs and the Satellite Notification and Acceptance Program (SNAP). OSHA no longer refers to procedures and criteria for specific programs as "supplemental programs." Instead, OSHA permits supplemental program activities (e.g., acceptance of witnessed test data, acceptance of test data from non-independent organizations) to be part of the NRTL's management system, unless such activities are specifically excluded by the NRTL's procedures. OSHA has also eliminated SNAP. Under the revised policy, NRTLs may apply to make existing SNAP sites recognized sites.
3. New procedures for the acceptance of inspections and test data from organizations that function as part of the International Electrotechnical Commission System for certification to standards relating to equipment for use in Explosive Atmospheres (IECEx Scheme).
4. A revised definition for the term "recognized site." Under this new definition, sites that were formerly "SNAP sites" may become NRTL recognized sites. OSHA's revised definition provides that, to be recognized, a site must be administratively and

operationally controlled by the NRTL and must perform at least one of the following functions:

- testing and inspection (and/or accepting test data or inspections);
- performing reviews; and
- making certification decisions with the NRTL management system.

As such, OSHA eliminated ownership requirements contained in the prior definition of “recognized site.”

5. A revision to OSHA’s policy on calibration to include new policies for external and internal calibration laboratories used by applicant organizations or NRTLs.

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## Chapter 1 – Introduction

### I. Purpose

Many of OSHA's safety standards for Construction and General Industry (e.g., 29 CFR 1910, Subpart S) require that equipment and products be tested and certified to help ensure their safe use in the workplace. To implement these requirements, OSHA established the Nationally Recognized Testing Laboratory (NRTL) Program and the agency generally requires NRTLs to perform this testing and certification.

This Directive sets forth procedures and policies under which OSHA recognizes private organizations to perform product testing and certification required by OSHA standards. The guidelines specified within the Directive are policies and procedures that supplement: (1) procedures addressing recognition of organizations under the OSHA NRTL Program in 29 CFR 1910.7 Appendix A; and (2) the general requirements found in ISO/IEC 17025:2005, *General requirements for the competence of testing and calibration laboratories*, and ISO/IEC 17065:2012, *Conformity Assessment – Requirements for bodies certifying products, processes and services*.

OSHA deems compliance with the applicable criteria in ISO/IEC 17025:2005 and ISO/IEC 17065:2012, and the corresponding testing and certification policies in this Directive, as compliance with the requirements for recognition under the NRTL Program regulation, 29 CFR 1910.7. For an explanation of which criteria in ISO/IEC 17025: 2005 and ISO/IEC 17065: 2012 are applicable, please see Annexes A and B.

### II. Organization of Directive

- Chapter 1 of this Directive (Introduction) describes general information about the NRTL Program and this Directive.
- Chapter 2 describes NRTL Program administrative procedures, associated with the recognition of organizations as NRTLs, which supplement the administrative procedures contained in Appendix A to the NRTL Program Regulations, 29 CFR 1910.7.
- Annexes A and B describe NRTL Program specific-testing and certification policies, which supplement Clauses 4 and 5 of ISO/IEC 17025: 2005 and Clauses 4 thru 8 of ISO/IEC 17065: 2012.
- Annex C presents terms and definitions.
- Annex D presents NRTL Program forms.

### III. Scope

This Directive applies to all OSHA offices engaged in or supporting the operations of the OSHA NRTL Program.

### IV. References

- 29 CFR 1910.7
- 53 FR 12102 (4/12/1988)
- 65 FR 46798 (7/31/2000)
- 76 FR 10500 (2/25/2011)
- OSHA Directive CSP 01-01-022 (formerly STP 2-1.147A) – Safety Testing or Certification of Certain Workplace Equipment and Materials, (8/7/1989)
- ISO/IEC 17025:2005, *General requirements for the competence of testing and calibration laboratories*
- ISO/IEC 17065:2012, *Conformity Assessment – Requirements for bodies certifying products, processes and services*
- ISO/IEC 17000:2004, *Conformity Assessment – Vocabulary and general principles*

### V. Cancellations

OSHA Directive CPL 01-00-003, NRTL Program Policies, Procedures and Guidelines (12/2/1999); Application Guidelines for the OSHA NRTL Program, (10/1/2000); and all policies, procedures and interpretations contained in Federal Register (FR) notices 60 FR 12980 (3/9/1995), and 74 FR 923 (1/9/2009) are hereby rescinded.

### VI. Responsibility

#### A. Director of the Office of Technical Programs and Coordination Activities (OTPCA)

1. Administers the NRTL Program under authority from the DTSEM Director.
2. Establishes and ensures compliance with policies and procedures for the NRTL Program; proposes modifications to, and clarifications of, this Directive, as needed.
3. Ensures the performance of all activities necessary for processing applications for NRTL recognition, including the preparation of FR notices required for activities under the NRTL Program.

B. Director of Directorate of Technical Support and Emergency Management (DTSEM)

1. Oversees the administration of the OTPCA.
2. Reviews policies and procedures and makes recommendations to Assistant Secretary for the NRTL Program, including, but not limited to, proposed modifications to, and clarifications of, this Directive.
3. Reviews NRTL Program-related FR notices originated by OTPCA, and submits these NRTL Program-related FR notices to the Assistant Secretary for approval, following review and concurrence by the Office of the Solicitor (SOL).

C. Office of the Solicitor (SOL)

1. Reviews and approves NRTL Program related FR notices originated by OTPCA, for legal issues and requirements.
2. Reviews and approves policies and procedures for the NRTL Program, including changes.
3. Provides legal advice on other regulatory or legal issues regarding the NRTL Program.

D. Assistant Secretary of Labor for Occupational Safety and Health (AS)

1. Reviews and approves NRTL Program-related FR notices submitted by DTSEM.
2. Approves letters of recognition or other formal notifications for organizations recognized by OSHA as Nationally Recognized Testing Laboratories.
3. Makes preliminary and final determinations on the approval or revocation of OSHA NRTL recognition.
4. Reviews and approves policies and procedures for the NRTL Program, including, but not limited to, proposed modifications to, and clarifications of, this Directive.

VII. Responsible Offices/Action Offices

A. Responsible Offices

Directorate of Technical Support and Emergency Management (DTSEM), Office of Technical Programs and Coordination Activities (OTPCA).

B. Action Offices

1. OTPCA and DTSEM OTPCA administers the NRTL Program under authority from the DTSEM Director; establishes and ensures compliance with policies and procedures for the NRTL Program; clarifies this Directive, as needed; and ensures the performance of all activities necessary for processing applications for NRTL recognition, including the preparation of FR notices required for activities under the NRTL Program. DTSEM oversees the administration of OTPCA and is responsible for administering OSHA's NRTL Program. This activity includes

reviewing and recommending approval of policies and procedures for the NRTL Program, reviewing and approving all parts of NRTL recognition applications, performing onsite visits in support of these applications, identifying non-conformances and providing recommendations to the AS to approve NRTL applicants and to revoke approval of recognized NRTLs. DTSEM also reviews FR Notices related to the NRTL Program.

2. SOL SOL reviews and approves NRTL Program-related FR notices and the NRTL Program Directive and policy memoranda, originated by DTSEM, for legal issues and requirements. SOL additionally provides legal advice on other regulatory or legal issues regarding the NRTL program.
3. AS The AS reviews and approves NRTL Program-related FR notices prepared by OTPCA and reviewed by DTSEM; approves letters of recognition or other formal applications for organizations recognized by OSHA as Nationally Recognized Testing Laboratories; approves the NRTL Program Directive and policy memoranda, and makes preliminary and final determinations on the approval or revocation of OSHA NRTL recognition.

C. Information Offices.

National Office Directorates, Regional Offices, State Plan States, OSHA Training Institute.

VIII. Federal Program Change.

A. Action Required

The responsible and the action offices will implement the policies, procedures, and guidelines contained in this Instruction.

B. Regional and State Impact

Regional Administrators (RAs) and Area Directors (ADs) will ensure that this Instruction is forwarded to appropriate administrative and compliance staff to review for changes pertinent to their areas of responsibility. RAs will also ensure that this Instruction is forwarded to each State Designee. As detailed in CSP 01-01-022 (formerly STP 2-1.147A), State Plan States are encouraged to adopt standards that rely on NRTLs recognized by Federal OSHA, but State Plan States choosing to

establish their own program for recognizing testing laboratories may do so as long as they:

1. Establish a program which is at least as effective as the OSHA NRTL Program.
2. Accept certifications of NRTLs recognized by OSHA for testing equipment and materials where State safety requirements are the same as Federal OSHA.
3. Ensure that organizations receiving State recognition understand that it applies only within that State.

#### IX. Significant Changes.

In this Directive, OSHA revises policies regarding compliance with meeting the criteria in the NRTL Program regulation, 29 CFR 1910.7, for recognition as a NRTL. Under the revised policy, OSHA deems compliance with the applicable criteria in ISO/IEC 17025:2005, *General requirements for the competence of testing and calibration laboratories*, and ISO/IEC 17065:2012, *Conformity Assessment – Requirements for bodies certifying products, processes and services*, and the corresponding testing and certification policies in this Directive, as compliance with the requirements for recognition under the NRTL Program regulation. This revision impacts several OSHA policies and creates several new policies. Significant revisions include:

- A. A revision to OSHA’s policy on how NRTLs can comply with the requirement in the NRTL Program regulation that NRTLs be “completely independent of employers subject to the tested equipment requirements, and of any manufacturers or vendors of equipment or materials being tested for these purposes” (29 CFR 1910.7(b)(3)). The revised policy focuses on the NRTL’s ability to effectively identify, eliminate and control any risk to its impartiality;
- B. A revision to OSHA’s policies and procedures on supplemental programs and the Satellite Notification and Acceptance Program (SNAP). OSHA no longer refers to procedures and criteria for specific programs as “supplemental programs.” Instead, OSHA permits supplemental program activities (e.g., acceptance of witnessed test data, acceptance of test data from non-independent organizations, etc.) to be part of the NRTL’s management system, unless such activities are specifically excluded by the NRTL’s procedures. OSHA also eliminated SNAP. Under the revised policy, NRTLs may apply to OSHA to make existing SNAP sites recognized sites;
- C. New procedures for the acceptance of inspections and test data from organizations that function as part of the International Electrotechnical

Commission System for certification to standards relating to equipment for use in Explosive Atmospheres (IECEX Scheme);

D. A revised definition for the term “recognized site”. Under this new definition, sites that were formerly “SNAP sites” may become recognized sites. OSHA’s revised definition provides that, to be recognized, a site must be administratively and operationally controlled by the NRTL and must perform at least one of the following functions:

- testing and inspection (and/or accepting test data or inspections);
- performing reviews; and
- making certification decisions with the NRTL management system.

As such, OSHA eliminated ownership requirements contained in the prior definition of “recognized site”; and

E. A revision to OSHA’s policy on calibration to include new policies for external and internal calibration laboratories used by applicant organizations or NRTLs.

## Chapter 2 – NRTL Program Administrative Procedures

### I. Summary of the NRTL Program Regulation, 29 CFR 1910.7.

The purpose of this Chapter of the Directive is to supplement the administrative procedures contained in Appendix A to the NRTL Program regulation, 29 CFR 1910.7 (“Appendix A” or “App A”).

NRTLs are organizations that OSHA recognizes as qualified to perform independent (i.e., third-party) product safety testing and certification. To be recognized as a NRTL, the organization must operate a product safety-testing program and a product-certification program meeting the requirements in 29 CFR 1910.7. A product-certification program, for purposes of OSHA requirements, consists of listing/labeling and factory surveillance programs.

OSHA requires organizations applying for recognition as a NRTL to provide, in their application, detailed and comprehensive written descriptions of their programs, processes, and procedures. When an organization makes an initial application to be recognized as a NRTL, OSHA reviews the written information contained in the organization’s application and conducts an on-site assessment to determine whether the organization meets the requirements of 29 CFR 1910.7. OSHA uses a similar process when a NRTL applies for expansion or renewal of its recognition, although the type and amount of information in some areas can differ significantly from those of initial applications.

The burden is generally “on the applicant to establish by a preponderance of the evidence that it is entitled to recognition as [a] NRTL” (App. A. Introduction). Thus, in its application, an applicant must “provide sufficient information and detail demonstrating that it meets the requirements set forth in 29 CFR 1910.7, in order for an informed decision concerning recognition to be made” by the Assistant Secretary of Labor for Occupational Safety and Health (AS), and must also “identify the scope of the NRTL-related activity for which the applicant wishes to be recognized” (i.e., the test standards the applicant will use for testing products) (App. A.I.A.2). To meet this burden, the applicant may include any documentation (i.e., enclosures, attachments, or exhibits) deemed appropriate (App.A.I.A.2.c).

OSHA accepts “[a]pplications submitted by eligible testing agencies” and acknowledges their receipt in writing (App. A.I.B.1.a). In addition, “[a]fter receipt of an application, OSHA may request additional information if it believes that information relevant to the requirements for recognition has been omitted” (*Id.*). OSHA “conduct[s] an on-site

review of the testing facilities of the applicant,” as necessary, “as well as the applicant’s administrative and technical practices, and, if necessary, reviews any additional documentation underlying the application” (App. A.I.B.1.b).

Following review of the application, and any additional information and on-site review report, OSHA has two options. On the one hand, if “the applicant appears to have met the requirements for recognition,” responsible OSHA staff must make a “positive finding” to the AS, which consists of “a written recommendation . . . that the application be approved, accompanied by a supporting explanation” (App. A.I.B.2). Once this recommendation is made, OSHA follows the procedures in the Appendix for making preliminary and final findings on the application (App. A.I.B.4, A.I.B.5, A.I.B.6).

On the other hand, if “the applicant does not appear to have met the requirements for recognition,” responsible OSHA staff must make a “negative finding” to the “applicant in writing, listing the specific requirements of 29 CFR 1910.7 and [Appendix A] which the applicant has not met, and allow[ing] a reasonable period for response” (App. A.I.B.3.a). After the applicant receives the notification of negative finding, the applicant may, within the response time provided in the notification, either (1) “[s]ubmit a revised application for further review, which could result in a positive finding” (the procedures for which are explained in the previous paragraph), or (2) “[r]equest that the original application be submitted to the Assistant Secretary with an attached statement of reasons, supplied by the applicant of why the application should be approved” (App. A.I.B.3.b.i). In either case (i.e., if a positive finding is made on a revised application or if the applicant requests that the original application be submitted to the AS), OSHA would follow the procedures in Appendix A for making preliminary and final findings on the application (App., A.I.B.4, A.I.B.5, A.I.B.6). The “procedure for applicant notification and potential revision may only be used once during each recognition process” (App. A.I.B.3.b.ii).

## II. Confidentiality

The name of an applicant seeking recognition becomes public information at the time OSHA publicly announces its preliminary finding on an application by publishing a FR notice. OSHA posts the application online at *www.regulations.gov* in the NRTL’s docket. Supporting information submitted with, or in support of, an application will remain confidential only to the extent required by law. For more information, see 29 CFR Part 70, “Production and Disclosure of Information or Materials.”



### III. Complaints

The NRTL Program employs a formal system to address complaints, which includes procedures for determining the validity of complaints, taking appropriate and effective actions, responding to complainants, and recordkeeping. A complaint regarding the activities of the NRTL Program, a particular NRTL, or a product certified by a NRTL may be lodged by any person or organization. Complaints may be sent to OSHA via email at [nrtlprogram@dol.gov](mailto:nrtlprogram@dol.gov) or telephone at 202-693-2110 and should include any supporting information, if available. A complaint concerning a NRTL should first be made to the laboratory it concerns before the complaint is forwarded to OSHA.

OTPCA reviews the complaint, contacts the complainant or other parties as necessary, and reports findings to DTSEM. Based on the OSHA investigation, and as necessary, input of the Office of the Solicitor, DTSEM makes an initial determination that the complaint either is not valid or is potentially valid and, therefore warrants a response from the subject of the complaint.

- A. If DTSEM can determine, on the basis of the OSHA investigation, that the complaint is not valid, OSHA communicates the rationale to the complainant (if known), and takes no further action.
- B. If DTSEM determines that the complaint is potentially valid and warrants a response, the OTPCA Director contacts the subject NRTL or other entity(ies), and takes appropriate steps to resolve the issues, including asking the subject NRTL or other entity(ies) to respond, in writing, to the issues raised by the complaint.
- C. If DTSEM determines that a written response from the subject NRTL or other entity(ies) adequately resolves the complaint, the OTPCA Director informs the complainant that the matter has been adequately resolved.
- D. If DTSEM determines that the written response from the subject NRTL does not adequately resolve the complaint, or if the subject NRTL does not respond within a reasonable period set by OSHA, OSHA will conduct a post-recognition assessment/monitoring visit, following the procedures in Chapter 2 of this Directive.

If DTSEM determines that the written response from the other entity(ies) does not adequately resolve the complaint, or if the other entity(ies) does not respond within a reasonable period set by OSHA, OSHA will pursue corrective actions as may be necessary and appropriate including and not limited to notifying the public and/or other Federal Agencies of a hazard.

- E. To the extent permitted by law, OSHA will keep confidential the nature of the resolution of the complaint, as well as the name of the complainant and if appropriate, the nature of the inquiry.
- F. OSHA will document whether and how the complaint was resolved, and the OTPCA Director will ensure that any control measures necessary to resolution of the complaint are implemented.

#### IV. Supplemental Procedures for Processing Applications for Initial Recognition

##### A. Supplemental Procedures for Submission of Application and Related Documentation

- 1. Any organization based within or outside the United States may apply to OSHA for recognition as a NRTL.
- 2. To be recognized as a NRTL, an organization applying for recognition must meet all the requirements in 29 CFR 1910.7.

##### B. Information to be Submitted with Application

Organizations that submit the following information when they apply for recognition as a NRTL will be considered to meet the requirement, in 29 CFR 1910.7, Appendix A – OSHA Recognition Process for Nationally Recognized Testing Laboratories, that an applicant “provide sufficient information and detail demonstrating that it meets the requirements set forth in 29 CFR 1910.7, in order for an informed decision concerning recognition to be made.”

- 1. An applicant organization shall complete an application for recognition that includes, but is not limited to, the following:
  - i. The NRTL Initial Application, Expansion and/or Scope Reduction Request Form (Form I); the NRTL Initial Application and Expansion Test Standard Worksheet (Form II); and the NRTL Application, Expansion Company Profile Worksheet (Form III) (See Annex D);
  - ii. The name and address of the organization;
  - iii. The point of contact’s name, e-mail address, and telephone number;
  - iv. A secondary point of contact’s name, e-mail address, and telephone number;
  - v. A description of the organization’s management structure;
  - vi. An organizational chart defining relationships that are relevant to performing testing and certifications covered in the recognition request;
  - vii. The requested scope of recognition; and
  - viii. The applicable test standard(s) requested.

2. The organization's management system documentation, which will constitute evidence of conformance with 29 CFR 1910.7, and this Directive, including the NRTL testing minimum performance policies and certification minimum performance policies (see Annex A and B). The management system documentation shall contain or refer to documentation that describes the policies, systems, programs, procedures, and instructions covering the applicable criteria in ISO/IEC 17025: 2005 and ISO/IEC 17065: 2012 and the corresponding NRTL testing minimum performance policies and certification minimum performance policies in Annex A and B of this Directive. All documentation shall be provided to OSHA in English.
3. A cross matrix indicating where each provision of ISO/IEC 17025:2005, ISO/IEC 17065:2012, and NRTL testing minimum performance policies in Annex A and certification minimum performance policies in Annex B are identified within the organization's management system (i.e., the organization's policies, procedures, systems, programs, procedures, and instructions).
4. A list of representative examples of test equipment used for the complete scope of NRTL testing for each standard clause requiring test equipment. Each example shall include a description of the test equipment (e.g., Digital Multi-Meter, power supply, 30mm probe), the equipment manufacturer's name, the model number, and the equipment identification number.
5. Any other documents requested or that will assist OSHA in better assessing an applicant organization. Any additional documents submitted should be for illustration or clarification, and not in lieu of the information listed in 1-4 above. In addition, each document shall be clearly labeled, and a reference to the document made in the application.

C. Agreement Conditions for Recognition

The signatory must certify that he or she is the legal signatory for the organization applying for recognition as a NRTL and that the organization will comply or continue to comply with the NRTL Program requirements contained in 29 CFR 1910.7, and will: (a) comply with all the policies, conditions, and requirements for recognition that OSHA imposes through its regulations, Directives, and FR notices; (b) operate as a NRTL only within the NRTL's approved scope of recognition (applicable test standards and sites), follow the policies, procedures, structures, and practices described in the NRTL's original or amended application accepted by OSHA, or in appropriate and approved revisions made after recognition; and (c) promptly submit details to OSHA of any major changes in the NRTL's operations.

D. Fees for Recognition

The NRTL Program regulation, 29 CFR 1910.7(f), requires payment of fees. Applicants must pay the applicable fees at time of application. OSHA will not process and may return an application if it does not receive payment for the applicable fees. In addition, payment for any activities for which there is a fee must be received in advance of OSHA performing the particular activity. Once recognized, the NRTL pays audit fees for each audit. For more information on required NRTL Program Fees, including when and where to pay fees, please see the NRTL Fee Payment Instructions and Information webpage, available at <https://www.osha.gov/dts/otpcanrtl/nrtlfees.html>.

E. Amending and Withdrawing Applications

An applicant may amend an application at any time prior to the issuance of a positive or negative finding on the application. However, substantial amendments may result in a delay in processing the application. An application may be withdrawn by an applicant, in whole or in part, without prejudice, at any time prior to the final decision by the AS. The OTPCA Director will acknowledge requests to amend or withdraw an application in writing.

V. Supplemental Procedures for Acceptance of Applications

A. Upon receipt of an application:

1. OSHA establishes a Case File and sends the applicant an acknowledgment in writing which specifies the next steps in the recognition process;
2. OSHA performs a limited review of an application for completeness (i.e., whether the application contains sufficient information to determine whether the applicant meets the requirements for recognition) in deciding whether to accept the application. The limited review does not determine whether an applicant's submittal is adequate to demonstrate the applicant has the capabilities necessary to become recognized by OSHA as a NRTL. OSHA's review for adequacy, and any on-site review, occurs only after OSHA accepts an application; and

B. If OSHA determines that an application is complete, OSHA accepts the application.

C. If OSHA determines that an application is not complete:

1. The OTPCA Director notifies the applicant in writing that it has 30 days from the date of the notice to provide the missing or additional information. The OTPCA

Director also informs the applicant, in the notice, that it is unable to review the merits of the application because the application itself does not contain sufficient information to show that the requirements for recognition can be met. Finally, the OTPCA Director informs the applicant, in the notice, that this review involves no technical determination, only whether the application has all of the necessary documentation.

2. If the applicant does not respond by the 30-day deadline, or does not adequately respond, and the application remains incomplete, OSHA informs the applicant that OSHA cannot accept the application, and the applicant must reapply for NRTL recognition.
3. If the applicant provides a complete application by the 30-day deadline, OSHA accepts the application.

#### VI. Supplemental Procedures for Applicants Located Outside the United States

If an initial application for NRTL recognition is received from an organization headquartered outside of the United States, OSHA:

- A. Sends a copy of the application to the United States Trade Representative (USTR). USTR considers whether the foreign country where the organization is located provides reciprocity as described in Appendix A.I.A.1.b. A foreign country fails to provide reciprocity when, for example, it does not allow U.S.-based safety-related testing bodies to apply for accreditation or recognition on the same terms and conditions as safety-related testing bodies based in the country's own territory. If USTR has concerns that a country does not provide reciprocity, USTR will inform OSHA of those concerns, and OSHA will take such concerns into consideration in determining whether to grant the application.
- B. Performs any additional procedures to comply with any special agreements with the foreign country in which the organization is headquartered, if any.

#### VII. Supplemental Procedures for Review of Application and Supporting Documentation

##### A. Summary of Review for Adequacy

1. After accepting the application, OSHA reviews it for adequacy.

2. OSHA first conducts a technical review of the application (i.e., a detailed review of all of the application's administrative and technical procedures and content.) This technical review consists of a detailed management procedures review and review of test standards submitted for recognition.
3. Following the technical review, OSHA determines whether to conduct an on-site assessment as part of evaluating the management system and technical capability of the organization. OSHA generally conducts an on-site review for initial applications.

**B. Completion of Detailed Management Procedures Review**

1. During the document review, OSHA may ask for additional documents to facilitate the review.
2. OSHA discusses non-conformances with the applicant's point of contact, and gives the organization the opportunity to address them prior to the on-site assessment. Based on the document review, OSHA may determine that there are major deficiencies in the application and require that the organization address the non-conformances before an on-site assessment is scheduled. In such cases, OSHA will provide a list of the non-conformances to the organization in writing. Where the management system documentation requires significant revision, OSHA may require the organization to improve the documentation and submit for further review.
3. The applicant has 30 days to respond to the list of non-conformances unless otherwise specified. OSHA may grant extensions on a case-by-case basis.
4. If the applicant provides a timely response to the list of non-conformances and OSHA determines that the response resolves all non-conformances, OSHA will proceed with an on-site assessment. If, however, OSHA determines that the response does not resolve all of the non-conformances identified, OSHA will proceed to the Negative Finding stage of the recognition process on the limited issue of whether OSHA's determination is correct.
5. If the applicant fails to provide a timely response to the list of non-conformances, OSHA will deem the application to be withdrawn and OSHA will take no further action. In such cases, DTSEM sends a letter to the applicant to this effect and closes the case file.

VIII. Test Standard Approval Criteria

- A. The NRTL Program Regulation (29 CFR 1910.7(c)) sets forth the criteria for determining whether a test standard is appropriate. Only standards that are determined to be appropriate test standards may be approved for recognition.
- B. An appropriate test standard is a document that either is:
- Recognized in the United States as a safety standard providing an adequate level of safety, and
  - Compatible with and maintained current with periodic revisions of applicable national codes and installation standards. (OSHA deems this requirement to be met only if the standards organization has appropriate policies and procedures for maintaining current standards), and
  - Developed by a standards organization under a method providing for input and consideration of views of industry groups, experts, users, consumers, government authorities, and others having broad experience in the safety field involved,
  - Or is designated as an American National Standards Institute (ANSI) safety-designated product standard or an ASTM International (ASTM) test standard used for evaluation of products or materials.
- C. In addition:
1. Documents issued by acceptable organizations (see 29 CFR 1910.7(c)) are only appropriate test standards if they allow a NRTL to determine through testing or inspection that a specific product conforms to safety requirements specified in the document. Safety requirements are features, parts, capabilities, usage limitations, or installation requirements that would create a potential hazard in operating the equipment if not properly used.
  2. To be approved for recognition, the scope of the test standard must pertain primarily to equipment or materials (products) covered under the NRTL Program, and its requirements must be consistent with applicable OSHA safety standards.

## IX. Supplemental Procedures for Approval of Appropriate Test Standards

### A. OSHA makes a determination whether a test standard is appropriate:

1. When OSHA processes a NRTL's application for recognition (either initial or expansion); or
2. When a test standard is withdrawn by a standards development organization and a NRTL requests recognition for a replacement standard; or
3. When OSHA otherwise becomes aware of withdrawn, replaced or new test standards (for example by monitoring notifications issued by certain standards development organizations, other government agencies, or other parties that a new test standard may be appropriate to add to the list of appropriate standards).

The remainder of this section details the procedures OSHA follows under these three scenarios.

### B. When OSHA processes a NRTL's application for recognition (either initial or expansion):

1. OSHA reviews the listing of test standards submitted for recognition and, for each test standard, verifies whether it is an appropriate test standard under the NRTL Program. OSHA maintains a list of previously approved appropriate test standards on the NRTL webpage.
2. If OSHA has not recognized a test standard as an appropriate test standard, but it has been issued by an acceptable organization, such as ANSI or ASTM (see 29 CFR 1910.7(c)) then:
  - i. OSHA determines whether the test standard is listed on the standard development organization's index of published test standards. If the test standard is not listed in the index of published test standards, then it shall not be approved.
  - ii. If the test standard is listed in the standard development organization's index of published test standards, then OSHA reviews the scope and technical requirements of the test standard to determine if the standard is



appropriate. If the test standard is not appropriate, then it shall not be approved.

- iii. OSHA determines whether the product(s) within the scope of the test standard require certification by a NRTL under 29 CFR Part 1910. If the product(s) within the scope of the test standard do not require certification by a NRTL under 29 CFR Part 1910, then the test standard shall not be approved.

- 3. OSHA documents the rationale for approving or denying each test standard, and the OTPCA Director informs the applicant in writing of test standards that it does not approve.
- 4. For an application to be considered adequate, at least one test standard requested must be approved for recognition. In cases where OSHA determines that no test standards submitted for recognition can be approved, OSHA will proceed to the Negative Finding stage of the recognition process on the limited issue of whether OSHA's determination is correct. In cases where OSHA determines that at least one test standard submitted for recognition can be approved, OSHA will proceed with the onsite assessment, provided that OSHA determines that the applicant's timely response to a list of nonconformances, prepared in conjunction with the Detailed Management Procedures Review, resolves all nonconformances.

C. When a test standard is withdrawn by a standards development organization and a NRTL requests recognition for a replacement standard, OSHA will consider the following actions:

- 1. Since a test standard withdrawn by a standards development organization is no longer considered an appropriate test standard, OSHA removes acceptance of a withdrawn test standard by issuing a correction notice in the FR for all NRTLs recognized for the withdrawn test standard.
- 2. OSHA recognizes a NRTL for an appropriate replacement test standard (provided such a standard exists) if the NRTL has the requisite testing and evaluation capability for implementing the replacement test standard.
- 3. A NRTL that was recognized for the withdrawn test standard may request recognition for a replacement test standard that is both appropriate and

comparable (i.e., completely or substantially identical) to the withdrawn test standard. A replacement test standard is comparable to a withdrawn test standard if the replacement test standard does not require additional or different technical capability than the withdrawn test standard. OSHA will follow the procedures in Chapter 2.IX.B.1 and 2.IX.B.2 in making a determination whether a replacement test standard is both appropriate and comparable to a withdrawn test standard.

4. A NRTL may also request recognition for a replacement test standard that is not comparable to the withdrawn test standard by either filing an application for expansion of recognition or, where applicable, demonstrating via the process described in Chapter 2.IX.B.3 that the NRTL has the capability to perform the testing and evaluation required in the areas of the replacement test standard that are not equivalent or comparable to the withdrawn test standard.

D. When OSHA becomes aware of a new test standard:

1. OSHA first makes a preliminary determination that a new test standard is appropriate under the NRTL Program Regulations (29 CFR 1910.7(c)).
2. OSHA then:
  - i. Issues a FR notice proposing to include new test standards that it identifies as appropriate in the NRTL Program's List of Appropriate Test Standards.
  - ii. May propose a FR notice to incorporate into NRTLs' scopes of recognition a new test standard to replace a test standard that OSHA is removing from the NRTLs' scopes of recognition (because, for example, OSHA makes a preliminary determination that a replacement test standard is both appropriate and comparable to a withdrawn test standard).
  - iii. Issues, in the FR, a final determination to accept or reject the new test standard for inclusion in the NRTL Program's list of Appropriate Test Standards and/or incorporate or not incorporate the new test standard into NRTLs' scopes of recognition, as applicable (after giving the public an opportunity to comment on the proposal, and reviewing any comments submitted and any other record evidence).

3. When OSHA determines that a replacement test standard is not comparable to a test standard that OSHA is removing from a NRTL's scope of recognition:
  - i. OSHA may provide for an abbreviated recognition process that allows the NRTL to submit to OSHA, in lieu of a full application for expansion, only information that demonstrates that the NRTL has the capability to perform the testing and evaluation required in the areas of the replacement test standard that are not equivalent or comparable to the standard being replaced.
  - ii. Per this abbreviated process, OSHA asks the NRTL in writing, to submit specified information that OSHA believes would demonstrate the requisite testing and evaluation capability.
  - iii. OSHA includes, in the written submission to the NRTL, a comparability table for the replacement test standard that details proposed substantive differences between the existing test standard and replacement test standard that OSHA believes the NRTL must address for OSHA to recognize the NRTL for the replacement standard.
  - iv. OSHA then follows the procedures specified by 29 CFR 1910.7, Appendix A, and in this Directive, for processing applications for expansion of scope of recognition in determining whether it should incorporate the replacement test standard into the affected NRTL's scope of recognition.

## X. Supplemental Procedures for On-Site Assessment

### A. Scheduling on-site assessment

1. If OSHA determines that an application has no major deficiencies (i.e., deficiencies in the application and supporting documentation that prevent OSHA from moving forward with the recognition process), or that all major deficiencies have been resolved, OSHA will schedule an on-site assessment.
2. OSHA schedules the on-site assessment at a mutually agreed-upon date and time at the organization. The time span for the assessment is dependent upon the applicant's scope of recognition. Typically, the assessment will span about two to three days and will be performed by two or more OSHA personnel.
3. OSHA prepares a schedule of on-site assessment activities prior to the assessment. The on-site assessment schedule documents those areas of the organization's operations that OSHA will review during the on-site assessment. The applicant will have an opportunity to review the schedule before the on-site assessment, and the schedule will be discussed during the opening meeting.
4. When OSHA schedules the on-site assessment, applicants are required to provide OSHA with a complete list of applicant project files from a time period designated by OSHA. Obtaining this list prior to the on-site assessment allows OSHA to more easily identify the project files to review during the on-site assessment.
5. If an applicant organization needs to change its established assessment date, then the applicant organization shall contact OSHA as soon as possible. The applicant organization is responsible for any costs associated with the date change.

### B. Conducting On-site Assessments

1. In conducting an on-site assessment:
  - i. OSHA reviews whether the applicant meets or exceeds the testing and certification minimum performance policies contained in Annex A and Annex B; and
  - ii. OSHA may use checklists to ensure that each organization receives an assessment consistent with that received by other organizations.

2. The on-site assessment activities include:
  - i. Opening Meeting: OSHA conducts an opening meeting with the applicant's personnel to discuss the scope and objectives of the on-site assessment, and review the schedule for the assessment activities.
  - ii. Laboratory Tour: OSHA tours the applicant's facilities, including, but not limited to: areas for product safety testing, equipment storage, and receiving areas.
  - iii. On-Site Review: OSHA reviews and discusses the applicant's activities in the areas specified in the on-site schedule.
  - iv. Closing Meeting: OSHA conducts a closing meeting with the applicant's personnel to discuss any findings documented by OSHA during the assessment. OSHA will present a summation of the findings, if any, and a copy of the Report of Findings. OSHA will respond to any questions from the applicant's staff concerning the findings.

#### XI. Supplemental Procedures for Report of Findings

- A. OSHA delivers a Report of Findings on the compliance of the organization with the recognition requirements at the conclusion of the closing meeting (unless OSHA specifies at the closing meeting that the Report of Findings will be delivered at a later date to the organization).
- B. A copy of the Report of Findings is retained by OSHA's Office of Technical Programs and Coordination Activities.
- C. The Report of Findings includes at a minimum:
  1. Date(s) of on-site assessment;
  2. The names of the OSHA personnel who conducted the assessment;
  3. The names and addresses of the organization sites assessed;
  4. Non-conformances and observations on the compliance of the organization with the recognition requirements.

- D. OSHA is responsible for the content of the Report of Findings, including the stating of non-conformances and observations.

## XII. Supplemental Procedures for Responding to Report of Findings

- A. The applicant has 90 days to respond to the Report of Findings unless otherwise specified. The OTPCA Director may grant extensions on a case-by-case basis. An extension is not valid unless it is in writing; oral statements implying that extensions are or will be granted are not valid and may not be relied upon. For example, the OTPCA Director may extend this period up to 6 months if the organization demonstrates that the delay was due to factors beyond its control. On the other hand, the OTPCA Director may limit any response period to fewer than 90 days for existing NRTLs (that are the subject of a post-recognition assessment/monitoring visit, for example) if the NRTL's non-conformances pose or could likely pose a safety or health risk to employees engaged in its operations or to users of the products it is testing and certifying under the NRTL Program.
- B. In responding to the Report of Findings, the applicant must demonstrate it corrected all deficiencies and provide evidence to OSHA that the corrections have been implemented into the applicant's or NRTL's management systems. As part of meeting this burden, unless otherwise specified by OSHA or the OTPCA Director, the applicant must provide OSHA with a root cause analysis, corrective action, and objective evidence that address each non-conformance identified in the Report of Findings.
- C. If the organization submits a timely response to the Report of Findings, OSHA will proceed to the Positive or Negative Finding stage of the recognition process.
- D. If the organization fails to submit a timely response to the Report of Findings, the application becomes inactive. If this occurs, the DTSEM Director then sends a follow-up notice to the applicant requesting that it respond to the Report of Findings within 10 days of the date of the notice. If the organization responds within the 10-day period, the application is returned to active status. Failure to respond by the 10-day deadline would constitute a withdrawal of the application by the applicant, and OSHA would take no further action. In such cases, the DTSEM Director sends a letter to this effect to the applicant and closes the Case File.

XIII. Supplemental Procedures for Making Positive or Negative Findings on the Application

- A. OSHA first completes a Preliminary Evaluation on whether the applicant should receive recognition. In conducting this evaluation, OSHA considers the record as a whole including (where applicable):
  - 1. The complete application and any supporting documentation, including, but not limited to, a detailed review of documentation of the applicant's quality and administrative system and administrative and operational control of the site(s); and
  - 2. Records relevant to OSHA's technical review, the onsite assessment, and OSHA's technical systems review (e.g., OSHA's review of the applicant's equipment, facility, staff, test procedures, and training records), including but not limited to,
    - i. The Detailed Management Procedures Review and any responses thereto,
    - ii. The Review of Test Standards and any responses thereto, and
    - iii. The Report of Findings and any response thereto.
- B. After OSHA completes the Preliminary Evaluation, the OTPCA Director completes a Final Evaluation to determine whether the DTSEM Director should recommend a positive finding or recommend a negative finding on the application.
- C. Based on the Final Evaluation, the DTSEM Director recommends a positive or negative finding on the application in writing.
  - 1. If the DTSEM Director recommends a negative finding, then DTSEM issues the applicant a notification of negative finding (i.e., for intended disapproval of the application to the applicant) in writing. In that case, the applicant has two options under Appendix A.I.B.3:
    - i. Option 1. The applicant has one additional chance to revise its application within 30 days of receipt of OSHA's written notice.

- ii. Option 2. The applicant may request that its original application (as supplemented during the review for adequacy) be submitted to the AS. The applicant must also make this request within 30 days of receipt of OSHA's written notice. In this case, the applicant must attach a statement of reasons to the application explaining why the application should be approved.
- iii. Where the applicant takes no action within the 30-day deadline, OSHA will consider the application withdrawn and take no further action. In such cases, the DTSEM Director sends a letter to this effect to the applicant and closes the case file.
- iv. The procedure for applicant notification and potential revision shall be used only once during each recognition process.

2. Revision of Application (Option 1):

- i. If the applicant opts to revise the application, OSHA invoices the applicant for the fee to review the revised submission. This fee equals the estimated hours for the review multiplied by the hourly rate for the applicable Miscellaneous Fee in the NRTL Program's fee schedule. Like other application fees, this review fee is not refundable. The applicant must pay this fee before OSHA performs the review of the revised application. OSHA considers a failure to pay the fee within 30-days of receipt of the invoice as a withdrawal of the application.
  - ii. When OSHA receives the fee, OSHA reviews the revised application to determine whether to sustain the negative finding or change it to a positive one. If OSHA decides to sustain the recommendation for a negative finding, OSHA first affords the applicant the opportunity to submit to OSHA a written withdrawal of the application. If the applicant does not withdraw the application, OSHA follows the procedures in Appendix A and in this Directive for making a preliminary finding and final decision on the application (App. A.I.B.4, A.I.B.5, A.I.B.6).
3. Once the DTSEM Director recommends a positive finding on either an original or revised application, sustains the recommendation for a negative finding after a review of a revised application, or the applicant requests that



the original application be submitted to the AS, OSHA follows the procedures in Appendix A and in this Directive for making a preliminary finding and final decision on the application (App. A.I.B.4, A.I.B.5, A.I.B.6).

XIV. Supplemental Procedures for Preliminary Findings and Final Decisions by the Assistant Secretary.

A. Preliminary Finding

1. OSHA prepares a draft FR notice for a preliminary finding.
2. SOL reviews and approves the draft FR notice before it is sent to the AS for approval.
3. If the AS does not approve the draft FR notice, DTSEM will work with the AS to address identified concerns and make appropriate revisions. At the discretion of the AS, OSHA may request and/or consider additional information and clarification from the applicant, and, if necessary, conduct an additional on-site assessment(s), to help the AS render a preliminary decision. Once the AS approves a draft FR notice, OSHA submits the notice for publication in the FR.
4. The OTPCA Director notifies the applicant in writing of the preliminary finding.

B. Final Decision

1. DTSEM prepares a Preliminary Recommendation on whether the AS should approve or deny recognition in the Final Decision. OSHA bases this recommendation on the record as a whole, including timely comments received in response to the preliminary finding and other relevant information.
2. The DTSEM Director reviews the Preliminary Recommendation, and if approved, DTSEM prepares a draft FR notice for a Final Decision on the application.
3. The DTSEM Director and SOL review and approve the draft FR notice before sending the draft FR to the AS for review and approval.
4. If the AS does not approve the draft FR notice, DTSEM will work with the AS to address identified concerns and make appropriate revisions. Per

Appendix A, “[a]t the discretion of the Assistant Secretary or his designee, OSHA may authorize Federal or contract personnel to initiate a special review of any information provided in the public comment record which appears to require resolution, before a final decision can be made” (App. A.I.B.7). Once the AS approves a draft FR notice, OSHA submits the notice for publication in the FR.

## XV. Post-Recognition Assessments/Monitoring Visits

### A. Schedule of Assessments/Monitoring Visits

The OTPCA Director will prepare a schedule of assessments/monitoring visits each year. OSHA performs these assessments/monitoring visits to determine whether each NRTL continues to meet its terms of recognition.

### B. Frequency of On-site Assessments/Monitoring Visits

OSHA will perform an on-site assessment/monitoring visit of each NRTL and its recognized sites on a frequency determined by the OTPCA Director, but at least once every two years. OSHA will request information from the NRTL in advance of an on-site assessment/monitoring visit to help determine the scope and objective of the assessment.

### C. Alternatives/Supplements to On-Site Assessments

#### 1. Electronic Assessments

OSHA may supplement or replace an on-site assessment/monitoring visit of a NRTL with an electronic assessment using web technology and teleconferencing capabilities. OSHA will request information in advance of an electronic assessment to help determine the scope and objective of the assessment.

#### 2. Office Assessments and Requests of Information

OSHA may perform an office assessment or otherwise request information from a NRTL to support an on-site assessment/monitoring visit; the OTPCA Director may also request that the NRTL update relevant information and provide records to show that the NRTL is conforming to the terms of recognition.

### D. Unscheduled and Special Assessments

OSHA may perform unscheduled assessments when warranted, at the OTPCA Director’s discretion. For example, an unscheduled assessment may be warranted if the OTPCA Director determines that the NRTL or one of its sites

may have a serious violation of OSHA's NRTL requirements. OSHA may also perform special assessments, at the discretion of the OTPCA Director, such as monitoring of an organization that a NRTL uses for purposes of testing and certification of products.

XVI. Supplemental Procedures for Post-Recognition Assessments/Monitoring Visits

- A. With the following modifications, OSHA will follow the Supplemental Procedures for On-Site Assessment, Report of Findings and Responding to Report of Findings, in Chapter 2.X, XI, and XII of this Directive, when scheduling and conducting post-recognition assessments/monitoring visits.
- B. If the NRTL submits a timely and adequate response to the Report of Findings, OSHA will issue a report in writing acknowledging receipt of the timely and adequate response to close out the assessment.
- C. If the NRTL fails to submit a timely response to the Report of Findings, or if OSHA determines that a timely response is not adequate (because, for example, the NRTL did not provide OSHA with a root cause analysis, corrective action, or objective evidence that addresses each non-conformance identified in the Report of Findings):
  - 1. OSHA will contact the NRTL to discuss the inadequate response or the failure to file a timely response.
  - 2. If a resolution is not reached during this discussion:
    - i. The OTPCA Director will notify the NRTL, in writing, of a final deadline to submit an adequate response to the Report of Findings. This written notification constitutes OSHA's notification under Section II.E.2.a of Appendix A to 29 CFR 1910.7, of the alleged deficiencies which would form the basis of a proposed revocation of the NRTL's recognition and allows the NRTL the opportunity to rebut or correct these alleged deficiencies.
    - ii. If the NRTL does not timely respond to OSHA's notification by the final deadline, or does not adequately respond to the Report of Findings, the DTSEM Director will propose, in writing to the NRTL, to revoke recognition of the NRTL, in whole or part. This written notification constitutes OSHA's notification under Section II.E.2.b of Appendix A to 29 CFR 1910.7.

XVII. Supplemental Procedures for Processing Applications for Expansion of Scope of Recognition

- A. Any organization recognized by OSHA as a NRTL may apply for expansion of scope of recognition at any time.
- B. With the following modifications, OSHA will follow the Supplemental Procedures detailed in Chapter 2.IV through Chapter 2.XIV of this Directive to process an application for expansion of NRTL scope of recognition.
  - 1. In lieu of the information to be submitted with the application provided in Chapter 2.IV.B, when it applies for expansion of recognition, a NRTL shall submit the NRTL Initial Application, Expansion and/or Scope Reduction Request Form and the Initial Application and Expansion Test Standard Worksheet (See Annex D);
  - 2. OSHA generally does not conduct a detailed management procedures review, but always conducts a review of test standards submitted for recognition, as part of its technical review of an application for expansion of recognition. OSHA may conduct a detailed management procedures review at its discretion. If OSHA conducts a detailed management procedures review, the NRTL will be notified of any additional information it needs to submit in connection with the application.
  - 3. OSHA also conducts a testing capability review and a site capability review as part of the technical review of an application for expansion of recognition. In its review of an application for initial recognition, the testing capability review and site capability review typically occur in connection with the on-site assessment. However, OSHA does not generally conduct an on-site assessment for an expansion application unless the application involves new areas of testing for the NRTL or areas of concern to OSHA. If OSHA does not conduct an on-site assessment for an expansion application, OSHA will proceed to the Positive or Negative Finding stage of the recognition process after completing the technical review of the application.
  - 4. In evaluating whether to grant an application for expansion, OSHA will take into account the record as a whole, including any evidence about the following criteria on whether the NRTL, in practice, meets the requirements for recognition:

- i. Whether the NRTL has corrected all non-conformances discovered during assessments;
- ii. Whether the NRTL has not significantly or consistently violated its terms of recognition during the previous 24 months; and
- iii. Whether the NRTL has resolved all significant issues concerning its recognition raised, for example, in valid complaints or petitions, or which OSHA otherwise determines to be valid.

**XVIII. Supplemental Procedures for Processing Applications for Renewal of Recognition**

- A. OSHA's recognition of a NRTL is valid for five years from the date of recognition unless OSHA revokes recognition before the expiration of the five-year period or the NRTL voluntarily terminates recognition. A NRTL may renew its recognition by filing a renewal request. Alternatively, after the first renewal has been granted, a NRTL may apply to renew its recognition by certifying its continued compliance with the terms of its letter of recognition and 29 CFR 1910.7. A NRTL applying for renewal of recognition must do so not less than nine months or more than one year before the current expiration of the term of its current recognition.
- B. With the following modifications, OSHA will follow Supplemental Procedures detailed in Chapter 2.IV through Chapter 2.XIV of this Directive, to process an application for renewal of recognition.
  1. In lieu of the information to be submitted with the application provided in Chapter 2.IV.B, when applying for renewal of recognition, a NRTL shall submit a Request for Renewal/NRTL Certification of Continued Compliance Attestation form (see Annex D-26);
  2. The Request for Renewal/NRTL Certification of Continued Compliance Attestation form serves as a renewal request and, as applicable, as a certification of continued compliance with the terms of the NRTL's letter of recognition and 29 CFR 1910.7.
  3. The Request for Renewal/NRTL Certification of Continued Compliance Attestation form asks the NRTL to verify general information as well as verify continued compliance with NRTL Program requirements.

4. The NRTL may submit information in addition to that contained in the Request for Renewal/NRTL Certification of Continued Compliance Attestation form to demonstrate its continued compliance with NRTL Program requirements.
5. At the time of submission, the NRTL must also submit any applicable fees.
6. Completing the Request for Renewal/NRTL Certification of Continued Compliance Attestation form is entirely voluntary. Each NRTL is free to apply for renewal or certify continued compliance with the terms of its recognition and 29 CFR 1910.7 in any form it chooses. However, OSHA will consider a renewal request or certification that does not contain the information requested in the Request for Renewal/NRTL Certification of Continued Compliance Attestation form to be deficient, which may result in delay or denial of the renewal.
7. OSHA does not follow the Supplemental Procedures for Review of Application and Supporting Documentation in Chapter 2.VII or the Supplemental Procedures for Approval of Appropriate Test Standards in Chapter 2.IX in connection with applications for renewal of recognition.
8. If OSHA has not conducted an on-site assessment of both the NRTL headquarters and any recognized sites that have unique capabilities crucial to the NRTL's scope within the previous 18 months, OSHA will conduct an on-site assessment in conjunction with the NRTL's application for renewal.
9. At the discretion of the OTPCA Director, OSHA may conduct an on-site assessment in conjunction with the NRTL's application for renewal, even if OSHA has conducted one within the previous 18 months.
10. If OSHA does not conduct an on-site assessment for a renewal application, OSHA will proceed to the Positive or Negative Finding stage of the recognition process after reviewing the Request for Renewal/NRTL Certification of Continued Compliance Attestation form and any additional information the NRTL submits to demonstrate its continued compliance with NRTL Program Requirements.
11. In evaluating whether to grant an application for renewal of recognition, OSHA will take into account the record as a whole, including any evidence

about the following criteria on whether the NRTL, in practice meets the requirements for recognition:

- i. Whether the NRTL has corrected all non-conformances discovered during assessments;
  - ii. Whether the NRTL has not significantly or consistently violated the terms of recognition during the previous 24 months; and
  - iii. Whether the NRTL has resolved all significant issues concerning its recognition raised, for example, in valid complaints or petitions, or which OSHA otherwise determines to be valid.
12. To expedite the completion of renewals, expansion requests for additional sites or test standards shall not be submitted in conjunction with renewal requests. All expansion requests shall be submitted separately, with a separate check to cover applicable fees. All expansions shall be handled in accordance with the Supplemental Procedures for Processing Applications for Expansion of Scope of Recognition in Chapter 2.XVII of this Directive.

**XIX. Revocation of Recognition**

- A. Upon receipt of information that a NRTL may have committed one of the potential causes to initiate revocation of recognition stated under Section II.E.1 in Appendix A of the NRTL Program regulations, 29 CFR 1910.7, the OTPCA Director shall review relevant documentation and determine if the information appears to be valid.
- B. If the OTPCA Director determines that the information appears to be invalid, then the OTPCA Director documents the decision and takes no further action.
- C. If the OTPCA Director determines that the information appears to be valid, then the OTPCA Director, with the concurrence of SOL and the DTSEM Director, recommends to the AS an appropriate course of action, which may include:
  1. No action to revoke recognition,
  2. Partial revocation of recognition, or

3. Complete revocation of recognition.

- D. If OSHA decides to commence partial or complete revocation proceedings, then OSHA will follow the process in Sections II.E.2 through 5 in Appendix A of the NRTL Program regulations, 29 CFR 1910.7.
- E. OSHA may satisfy its obligation to notify a NRTL under Section II.E.2 of Appendix A to 29 CFR 1910.7, of the alleged deficiencies (that are the basis of a proposed revocation of the NRTL's recognition) in several ways. For example, OSHA may notify the NRTL, in writing, of a final deadline to submit an adequate response to a Report of Findings in connection with a Post-Recognition Assessments/Monitoring Visit (see Chapter 2.XVI), or satisfy its obligation in connection with the processing of a valid complaint, or in conjunction with some other communication to the NRTL.
- F. The OTPCA Director will specify the form, content, and timing of the response required for the NRTL to rebut or correct alleged deficiencies when the NRTL receives notification, under Section II.E.2.a of Appendix A to 29 CFR 1910.7.
- G. If the alleged deficiencies are not corrected or reconciled within the time period specified by the OTPCA Director, OSHA will propose, in writing to the NRTL, to revoke recognition. A revocation becomes effective 60 days from the date communication was sent to the NRTL to revoke recognition unless, within that period, the NRTL does one of the following:
  - 1. Submits a written request for a hearing, or
  - 2. Establishes, in a written response, that it has corrected the alleged deficiencies forming the basis of the proposed revocation. The written response shall include appropriate documentation that demonstrates all deficiencies have been corrected. The DTSEM Director will formally accept or reject the NRTL's response. Acceptance by the DTSEM Director means the NRTL adequately corrected the alleged deficiencies. Rejection means the NRTL failed to adequately correct the alleged deficiencies.
- H. OSHA will give public notice in the FR regarding a proposed revocation.



XX. Voluntary Termination of Recognition

A NRTL may request a full or partial termination of recognition by sending a letter with appropriate information to the OTPCA Director (see Section II.D of Appendix A of 29 CFR 1910.7). The request shall state the effective date of the termination. Once the request is received, the DTSEM Director confirms the request, in writing, and OSHA prepares for clearance a FR notice to terminate recognition by the effective date. Upon publication, the OTPCA Director will send a written copy of the notice to the NRTL.

## **Annex A - Testing Minimum Performance Policies**

The testing minimum performance policies specified in this Annex provide guidance for the recognition of organizations under the OSHA NRTL Program. Annex A contains OSHA-specific policies that supplement the general provisions in ISO/IEC 17025:2005, *General requirements for the competence of testing and calibration laboratories*. Annex B contains OSHA-specific policies that supplement the general provisions in ISO/IEC 17065:2012, *Conformity Assessment – Requirements for bodies certifying products, processes and services*.

Paragraph (b) of the NRTL Program regulation (29 CFR 1910.7) contains criteria that an organization must meet to be recognized as a NRTL. Appendix A to 29 CFR 1910.7 provides that, in evaluation of whether an organization meets the criteria in 29 CFR 1910.7(b), OSHA “will use either consensus-based standards currently in use nationally, or other standards or criteria which may be considered appropriate.” Per this provision, in the testing and certification minimum performance policies in Annex A and Annex B, OSHA uses the applicable criteria in ISO/IEC 17025:2005 and ISO/IEC 17065:2012, and the corresponding OSHA-specific testing and certification supplemental policies in Annex A and Annex B, to evaluate whether an applicant organization or NRTL meets the criteria in 29 CFR 1910.7(b) for NRTL recognition.

Organizations should disregard the statements in both ISO/IEC 17025:2005 and ISO/IEC 17065:2012 that “[f]or undated references, the latest edition of the referenced document (including any amendments) applies.” For undated references, other than undated references to ISO/IEC 17025 or ISO/IEC 17065, organizations should consult the edition of the referenced document in effect at the time of the issuance of the Directive. For undated references to ISO/IEC 17025 or ISO/IEC 17065, organizations should consult ISO/IEC 17025:2005 or ISO/IEC 17065:2012, as applicable. OSHA may review and provide guidance on newer editions of referenced documents as necessary.

The numbering in this Annex correlates to the numbering in ISO/IEC 17025:2005.

### **4. Management Requirements**

To meet this policy, an applicant organization or NRTL shall comply with all of Section 4 of ISO/IEC 17025:2005, except as noted below, and the following additional management policies:

#### 4.1 Organization

- A. The applicant organization or NRTL shall ensure that its management system shall cover work conducted at recognized sites.
- B. If the applicant organization or NRTL offers any services, such as consulting, design, or research, the applicant organization or NRTL shall have a policy and procedure for maintaining impartiality through separation of those services from its testing activities.

#### 4.2 Management system

The applicant organization or NRTL shall follow all programs, procedures, and policies it develops in compliance with this Annex.

#### 4.3 Document control

There are no management policies supplementing Section 4.3 of ISO/IEC 17025: 2005.

#### 4.4 Review of requests, tenders and contracts

There are no management policies supplementing Section 4.4 of ISO/IEC 17025: 2005.

#### 4.5 Subcontracting of tests and calibrations

Subcontracting of testing as described in ISO/IEC 17025: 2005 Section 4.5 applies only insofar as it is incorporated by ISO/IEC 17065:2012 Section 6.2.2 and the corresponding supplemental policies in Annex B. Subcontracting of testing as described in ISO/IEC 17025:2005 Section 4.5 does not apply outside of its incorporation by ISO/IEC 17065:2012 Section 6.2.2 and the corresponding supplemental policies in Annex B. Subcontracting of calibrations shall be in accordance with ISO/IEC 17025:2005 Section 4.5.

#### 4.6 Purchasing services and supplies

- A. Except as allowed in Sections 4.6.B and 4.6.C below, the applicant organization or NRTL shall use a calibration laboratory accredited for the appropriate measurement calibration of its test equipment, even if this calibration laboratory is internal to the applicant organization or NRTL.

Note: A calibration laboratory that is internal to the applicant organization or NRTL is considered to be accredited for the appropriate measurement calibration of its test equipment if it has evidence of an assessment showing that it meets all applicable requirements in ISO/IEC 17025:2005 as part of the accreditation of the laboratory of which it is part. It should also be noted that the accredited internal calibration laboratory must meet the applicable policies contained in this

Directive when calibrating test equipment used in its NRTL-associated testing.

- B. If no calibration laboratory is accredited for a particular type of testing equipment, the applicant organization or NRTL may use the equipment manufacturer, or use an unaccredited calibration laboratory, provided the calibration laboratory is qualified by the applicant organization or NRTL using the applicant organization or NRTL procedures.
- C. The applicant organization's or NRTL's internal calibration laboratory does not need to be accredited to calibrate its own equipment in two situations:
  - i. equipment whose physical properties are unlikely to change and is not used for quantitative measurements (e.g., accessibility probes, impact spheres, rulers/measures, and containers used to measure or hold liquids); or
  - ii. equipment whose measurement parameters meet any of the following requirements:
    - a. mass above 0.5kg and where an accuracy of  $\pm 2\%$  or greater is required; or
    - b. linear dimensions not less than 0.5mm and where an accuracy of  $\pm 0.1\text{mm}$  or greater is required; or
    - c. time for periods of 60 seconds or more, unless the test standard requires a specific accuracy of measurement.

Such equipment shall initially be calibrated by an accredited calibration laboratory, or if none, by the manufacturer or a qualified calibration laboratory, before being placed into service.

- D. Whenever the applicant organization or NRTL calibrates its own equipment, it shall have procedures in place to ensure appropriate calibration of that equipment.

#### 4.7 Service to the customer

There are no management policies supplementing Section 4.7 of ISO/IEC 17025: 2005.

#### 4.8 Complaints

There are no management policies supplementing Section 4.8 of ISO/IEC 17025: 2005.

4.9 Control of nonconforming testing and/or calibration work

There are no management polices supplementing Section 4.9 of ISO/IEC 17025: 2005.

4.10 Improvement

There are no management polices supplementing Section 4.10 of ISO/IEC 17025: 2005.

4.11 Corrective action

There are no management polices supplementing Section 4.11 of ISO/IEC 17025: 2005.

4.12 Preventive action

There are no management polices supplementing Section 4.12 of ISO/IEC 17025: 2005.

4.13 Control of records

4.13.2 Technical Records. The applicant organization or NRTL shall have procedures to record and retain the following for each test conducted:

- i. test procedure(s) and test standard(s) used;
- ii. product or component(s) tested;
- iii. test equipment used for testing, measurement, or review (including the equipment's ratings and accuracies, unless otherwise readily available);
- iv. date of the test;
- v. a unique test report identifier;
- vi. identification of the personnel performing the test(s);
- vii. the test conditions as specified by the test standard, e.g., required voltage, power, temperature, or humidity for the test;
- viii. test or inspection results; and
- ix. all of the applicable data the laboratory's procedures require.

4.14 Internal audits

There are no management polices supplementing Section 4.14 of ISO/IEC 17025: 2005.

#### 4.15 Management reviews

There are no management policies supplementing Section 4.15 of ISO/IEC 17025:2005.

### 5. Technical Requirements

To meet this policy, an applicant organization or NRTL shall comply with all of Section 5 of ISO/IEC 17025:2005 and the following additional technical policies:

#### 5.1 General

There are no technical policies supplementing Section 5.1 of ISO/IEC 17025:2005.

#### 5.2 Personnel

- A. The applicant organization or NRTL shall maintain competent technical personnel that are:
  - i. permanent employees or employees, who through a written contract or agreement, are within the management control and systems/procedures of the applicant organization or NRTL;
  - ii. knowledgeable in appropriate evaluation, test procedures, and test standards for the types of products covered by the NRTL's scope of recognition; and
  - iii. knowledgeable in the risks and hazards associated with conducting safety testing, including laboratory safety regulations, safeguards and procedures to reduce laboratory risks.
- B. The applicant organization's management or NRTL's management shall be knowledgeable in OSHA's NRTL Program regulations, 29 CFR 1910.7, the criteria set out in ISO/IEC 17025:2005 and the OSHA-specific testing policies contained in this Directive. A list of laboratory management personnel shall be maintained.
- C. The applicant organization or NRTL shall:
  - i. maintain a written training program for new and current technical personnel, which shall include the proper procedures for applying new/updated test procedures and performing required tests.
  - ii. provide current technical personnel additional training, if necessary, when test standards or procedures are updated or developed, or when responsibilities have changed.

iii. conduct training through appropriate training mechanisms, such as on-the-job training or formal classroom training.

iv. maintain records of training for each individual who is a member of the technical staff.

D. The applicant organization or NRTL shall maintain records documenting competence in the particular testing, inspection, or other technical subjects, procedures, or practices that technical personnel will perform. For example, a record may include past project work in testing, education, and/or formal training in testing, appropriate test standards, and relevant test procedures.

### 5.3 Accommodation and environmental conditions

There are no technical polices supplementing Section 5.3 of ISO/IEC 17025: 2005.

### 5.4 Test and calibration methods and method validation

A. The applicant organization or NRTL shall ensure that each test procedure it uses adequately addresses all of the applicable requirements for the types of products or components to be tested to a particular test standard. Each test procedure shall include or specify, as appropriate, the:

- i. document title or test name;
- ii. publication or revision date;
- iii. specific test equipment to use along with its required measurement range, if identified in the test specification;
- iv. minimum accuracy requirements, if identified in the test specification;
- v. warnings/caution statements to alert the NRTL staff or test technician of potential hazards;
- vi. normal and any unusual ambient conditions (including tolerances) for tests, if identified in the test specification;
- vii. test data to be obtained and recorded;
- viii. the minimum resolution of measurements, if identified in the test specification;

- ix. objective acceptance criteria for results, or reference thereto, unless acceptance criteria are clearly stated in the test standard;
- x. testing techniques; and
- xi. test operator instructions on equipment operation and on handling and preparation of test samples (including instructions on multiple sample marking, if applicable).

A test procedure must be consistent with the product safety test standard(s) applicable to the products under test and must contain instructions that will yield consistent application. A test standard may be used, partly or completely, as a test procedure if it contains instructions that will yield consistent application and repeatable results. A test procedure may only be used if it contains objective acceptance criteria that assure reasonable repeatability of tests.

- B. The applicant organization or NRTL shall ensure that it has procedures in place, and it has written and complete instructions for performing the review for the construction requirements of the standard when this review involves more than a visual pass/fail determination.
- C. The applicant organization or NRTL, shall ensure that the procedures specify all aspects of developing, reviewing, and maintaining tests or other technical methods and procedures (including related data collection methods, forms, and checklists), and include steps for:
  - i. identifying the personnel responsible for developing, reviewing, and maintaining these documents;
  - ii. specifying the frequency of review by technical personnel and management;
  - iii. ensuring consistency with applicable test standard(s); and
  - iv. ensuring test modifications are reviewed by personnel who are competent to the applicable test standard(s).

## 5.5 Equipment

- A. The applicant organization or NRTL shall ensure that all equipment used for testing and evaluating products is available and in proper working order for NRTL work. However, equipment needed only occasionally for a special or unique type of product that is seldom tested, may be rented, as needed.



- B. The applicant organization or NRTL must own, lease, or rent equipment, and shall have procedures requiring that new, leased, rented, and repaired equipment is calibrated prior to first use.
- C. The applicant organization or NRTL shall ensure that its procedures address adding, deleting, modifying, or maintaining information in equipment records in an accurate and timely manner, and specify the personnel responsible for these tasks.
- D. The applicant organization or NRTL shall ensure that its procedures specify the steps for establishing calibration intervals for each type or item of equipment, and specify criteria, steps, and approvals for extending the calibration interval of an instrument.
- E. The applicant organization or NRTL must verify equipment that does not need to be calibrated against documented specifications and/or procedures.
- F. The applicant organization or NRTL shall have procedures to examine the effects of defective equipment on calibrations and tests. The procedures shall identify the personnel responsible for such examinations, specify their responsibilities, and provide the steps for the examination, including:
  - i. determining whether the effects are unacceptable (including the accept/reject criteria);
  - ii. identifying the products affected;
  - iii. analyzing the particular tests impacted for these products; and
  - iv. determining whether retesting is required.

Procedures shall also specify the report or document that is prepared for this examination, the notification provided to clients and certification body when retesting is required, and the steps to follow to perform the retesting.

- G. If a piece of test equipment is found to be out-of-tolerance, the applicant organization or NRTL shall have procedures to:
  - i. identify and document any product(s) tested by the out-of-tolerance equipment after the last known date the equipment was in-tolerance;
  - ii. review and document any testing conducted using the out-of-tolerance equipment to determine if the out-of-tolerance condition impacted test results;

- iii. retest the products impacted by the out-of-tolerance condition and document the results; and
- iv. document the corrective actions taken to comply with Section 5.5.G.i, ii, and iii, above, and retain such documentation in the test equipment records and the technical files or test records for any tested products impacted by the out-of-tolerance condition.

5.6 Measurement traceability

There are no technical policies supplementing Section 5.6 of ISO/IEC 17025.

5.7 Sampling

There are no technical policies supplementing Section 5.7 of ISO/IEC 17025.

5.8 Handling of test and calibration items

There are no technical policies supplementing Section 5.8 of ISO/IEC 17025.

5.9 Assuring the quality of test and calibration results

There are no technical policies supplementing Section 5.9 of ISO/IEC 17025.

5.10 Reporting the results

There are no technical policies supplementing Section 5.10 of ISO/IEC 17025.

## **Annex B - Certification Minimum Performance Policies**

The certification minimum performance policies specified in this Annex provide guidance for the recognition of organizations under the OSHA NRTL Program. Annex A contains OSHA-specific policies that supplement the general provisions in ISO/IEC 17025:2005, *General requirements for the competence of testing and calibration laboratories*. Annex B contains OSHA-specific policies that supplement the general provisions in ISO/IEC 17065:2012, *Conformity Assessment – Requirements for bodies certifying products, processes and services*.

Paragraph (b) of the NRTL Program regulation (29 CFR 1910.7) contains criteria that an organization must meet to be recognized as a NRTL. Appendix A to 29 CFR 1910.7 provides that in the evaluation of whether an organization meets the criteria in 29 CFR 1910.7(b), OSHA “will use either consensus-based standards currently in use nationally, or other standards or criteria which may be considered appropriate.” Per this provision, in the testing and certification minimum performance policies in Annex A and Annex B, OSHA uses the applicable criteria in ISO/IEC 17025:2005 and ISO/IEC 17065:2012, and the OSHA-specific testing and certification supplemental policies in Annex A and Annex B, to evaluate whether an applicant organization or NRTL meets the criteria in 29 CFR 1910.7(b) for NRTL recognition.

Organizations should disregard the statements in both ISO/IEC 17025:2005 and ISO/IEC 17065:2012 that “[f]or undated references, the latest edition of the referenced document (including any amendments) applies.” For undated references, other than undated references to ISO/IEC 17025 or ISO/IEC 17065, organizations should consult the edition of the referenced document in effect at the time of the issuance of the Directive. For undated references to ISO/IEC 17025 or ISO/IEC 17065, organizations should consult ISO/IEC 17025:2005 or ISO/IEC 17065:2012, as applicable. OSHA may review and provide guidance on newer editions of referenced documents as necessary.

The numbering in this Annex correlates to the numbering in ISO/IEC 17065:2012.

### **4. General Requirements**

To meet this policy, an applicant organization or NRTL must comply with all of Section 4 of ISO/IEC 17065:2012 and the following additional general policies:

#### **4.1 Legal and contractual policies**

- A. The NRTL shall maintain registration of a certification mark with the U.S. Patent and Trademark Office (USPTO). USPTO records shall show the following:
  - i. USPTO records shall show the mark registered as a product certification mark; and
  - ii. USPTO records shall show that:

- a. the NRTL owns the certification mark; or
- b. another NRTL that is organizationally affiliated with the NRTL (e.g., a parent company or a subsidiary owned by a parent company) owns the certification mark (provided OSHA has accepted a formal agreement between the NRTLs controlling the use of the mark); or
- c. the certification mark is owned by an entity that the NRTL wholly owns (provided OSHA has evidence that only the NRTL has exclusive use of the mark).

Note: An organization applying to become a NRTL shall provide evidence with its NRTL application of having submitted an application for registration with the USPTO. An applicant must provide evidence of registration of the certification mark prior to OSHA recognizing the organization as a NRTL.

- B. The applicant organization or NRTL's procedures shall require clients to apply the organization's mark to individual units of the product certified, or, if not feasible, to the smallest unit packaging of the product. The test standard(s), certification category, or a symbol or code that identifies the test standard(s) to which the unit is certified shall be shown adjacent to the NRTL's mark. QR codes, barcodes or other machine readable codes may be used in conjunction with, but not as a replacement for, the required markings of this clause.
- C. The applicant organization or NRTL shall have procedures and resources in place to control the use of the certification mark when the product is initially certified as well as in cases when the manufacturer proposes to modify the certified product, and to monitor advertisements, catalogues, and brochures for incorrect references or misleading use of its certification mark.
- D. The applicant organization or NRTL shall have resources to ensure that corrective actions are taken for incorrect references or misleading use of the certification mark.

#### 4.2 Management of impartiality

- A. The applicant organization or NRTL's policies and procedures shall ensure that the organization:
  - i. documents how any risks to its impartiality are identified on an ongoing basis, including how it determines if an activity or relationship presents or does not present a risk to its impartiality;

- ii. identifies and describes each such risk; and
- iii. describes how such risks will be eliminated or controlled.

B. The applicant organization or NRTL shall ensure that risks to impartiality which are not eliminated are adequately controlled such that the confidence of a reasonable person in the impartiality of the applicant organization or NRTL would not be undermined. Risks to impartiality to be considered by the applicant organization or NRTL include, but are not limited to, those specified in paragraph A.2.2 of ISO/IEC 17065:2012.

#### 4.3 Liability and financing

There are no general policies supplementing Section 4.3 of ISO/IEC 17065:2012.

#### 4.4 Non-discriminatory conditions

There are no general policies supplementing Section 4.4 of ISO/IEC 17065:2012.

#### 4.5 Confidentiality

There are no general policies supplementing Section 4.5 of ISO/IEC 17065:2012.

#### 4.6 Publicly available information

There are no general policies supplementing Section 4.6 of ISO/IEC 17065:2012.

### 5. Structural Requirements

To meet this policy, an applicant organization or NRTL must comply with all of Section 5 of ISO/IEC 17065:2012.

#### 5.1 Organizational structure and top management

There are no structural policies supplementing Section 5.1 of ISO/IEC 17065:2012.

#### 5.2 Mechanisms for safeguarding impartiality

There are no structural policies supplementing Section 5.2 of ISO/IEC 17065:2012.

### 6. Resource Requirements

To meet this policy, an applicant organization or NRTL must comply with all of Section 6 of ISO/IEC 17065:2012 and the following additional resource policies:

#### 6.1 Certification body personnel

A. The applicant organization or NRTL shall employ, or, through a written contract or agreement, have access to, a sufficient number of personnel to cover the operations related to its certification schemes, including, for example, schemes related to applicable test standards and other normative documents. This personnel shall be:

- i. permanent employees or employees within the management control and systems/procedures of the applicant organization or NRTL;
  - ii. knowledgeable in the evaluation and test processes for test standards in the organization's scope of recognition;
  - iii. knowledgeable in the applicant organization or NRTL's certification processes;
  - iv. trained to conduct factory surveillance, as appropriate; and
  - v. uninvolved in the process for evaluation.
- B. The applicant organization or NRTL management shall be knowledgeable in the OSHA NRTL Program regulations, 29 CFR 1910.7, the criteria set out in ISO/IEC 17065:2012, and the OSHA-specific NRTL certification policies contained in this document.
- C. A training program for new and current personnel performing reviews and/or making certification decisions shall be documented by the applicant organization or NRTL. Training shall include use of certification processes as well as test standards and procedures. Current personnel performing reviews and/or making certification decisions shall receive additional training, when certification processes are updated, test standards or procedures are updated or developed, or when responsibilities have changed. All training shall be conducted through appropriate training mechanisms, such as on-the-job training or formal classroom training. Records of training shall be documented in individual training records.
- D. For personnel performing reviews and/or making certification decisions, personnel and/or training records shall document competence in the particular certification functions, procedures, or practices they perform. For example, a record may include past project work in testing or certification, education, and/or formal training in appropriate test standards and relevant procedures.

## 6.2 Resources for evaluation

- A. When the applicant organization or NRTL performs laboratory testing with its internal resources, the recognized or unrecognized site used for product testing shall meet ISO/IEC 17025:2005 and the Testing Minimum Performance Policies specified in Annex A.

- B. If an applicant organization or NRTL accepts test data from, or witnessed testing performed at, outsourced laboratories, the applicant organization or NRTL shall ensure that:
- i. procedures are in place to ensure that each test package has been completed for the applicable test standard(s) by the outsourced laboratory and reviewed by technical personnel from the applicant organization or NRTL and to ensure that the subcontractor's technical personnel meet the standards contained in ISO/IEC 17025:2005 Section 5.2 and Annex A Section 5.2;
  - ii. procedures are in place to ensure that all test data originates with the outsourced laboratory;
  - iii. technical personnel from the applicant organization or NRTL who meet the requirements of ISO/IEC 17025:2005 Section 5.2 and Annex A, Section 5.2, are used when witnessed testing is employed (It should be noted that, when witnessed testing is employed, the applicant organization or NRTL shall ensure compliance with all provisions in this paragraph (Annex A, paragraph 6.2.B.i thru 6.2.B.v));
  - iv. procedures are in place to ensure the outsourced laboratory is qualified to Section 5 of ISO/IEC 17025:2005 and Annex A, Section 5 using the applicant organization's or NRTL's own qualification program; and
  - v. the qualification of the outsourced laboratory for its scope of testing is verified by the applicant organization or NRTL on at least an annual basis, and when the outsourced laboratory is expanding or modifying its approved scope of testing.
- C. An applicant organization or NRTL shall state in its organization's procedures whether it accepts, or does not accept, test data from, or witnessed testing performed at, outsourced laboratories.

## 7. Process Requirements

To meet this policy, an applicant organization or NRTL must comply with all of Section 7 of ISO/IEC 17065:2012 and the following additional process policies:

### 7.1 General

There are no process policies supplementing Section 7.1 of ISO/IEC 17065:2012.

## 7.2 Application

- A. The applicant organization or NRTL shall use appropriate contracts, covenants, or agreements in providing certification services to clients, which shall include, but not be limited to, the following:
  - i. provision(s) for submitting products for testing;
  - ii. provision(s) for permitting periodic factory surveillance;
  - iii. provision(s) for permitting samples of products to be selected, from production or stock, for testing;
  - iv. covenants from the client to observe and comply with the applicable test standards;
  - v. an obligation on the client to have a process to control the release of products that have been changed;
  - vi. provision(s) for unobstructed access to the manufacturing facilities without prior notification;
  - vii. provision(s) that the product will be produced to the same specifications as the sample approved for certification; and
  - viii. controls to ensure that all management system and production records will be open and readily available for factory surveillance by the certification body.
- B. The applicant organization or NRTL shall have procedures or agreements with its customers to address each of the following situations:
  - i. instituting a product recall;
  - ii. removing the mark of conformity from products;
  - iii. reworking a product in the factory so it will comply with applicable test standard(s); and
  - iv. scrapping or replacing a returned product that is no longer in compliance with the applicant organization or NRTL certification if it is not practical to remove the mark or rebuild the product.

## 7.3 Application review

There are no process policies supplementing Section 7.3 of ISO/IEC 17065:2012.



#### 7.4 Evaluation

- A. The applicant organization or NRTL shall have procedures for the evaluation process that require personnel to:
- i. verify and use the applicable test standard(s) and appropriate edition of the test standard(s);
  - ii. provide written evidence or details for how a product complies with each section of the test standard(s) (including a reference to a test procedure for sections that require tests be conducted). The NRTL shall provide evidence sufficient to document what features or construction exist (or don't exist) that show how compliance was (or was not) met;
  - iii. identify the reason for waiving or excluding particular sections of the test standard(s);
  - iv. address safety critical components that are not certified or have a non-standard design;
  - v. handle newly developed or unique technologies, when the test standard does not apply, in part or in whole, using test standards for which the NRTL is recognized;
  - vi. indicate how interpretations of the test standards are documented and made readily available for personnel; and
  - vii. address failures identified against the product test standard without engaging in the redesign of the product.
- B. If a NRTL accepts another NRTL's listing, where a NRTL client has terminated or will terminate certification with another NRTL, or if a NRTL client uses more than one NRTL to test and certify the same product(s), model(s), type(s) of product, or members of the same product family(ies), the accepting NRTL must have procedures for:
- i. Identifying information the NRTL client must submit for the product(s), model(s), type(s) of product, or members of the same product family(ies), including:
    - a) the other NRTL's full listing report(s) (which must provide sufficient detail for the accepting NRTL to verify the certified product(s), model(s), type(s) of product, or members of the same product family(ies) and typically includes such items as photographs, a list of safety critical components, drawings, illustrations, a list of tests conducted, and a

physical description of the product(s), model(s), type(s) of product, or members of the same product family(ies));

- b) the other NRTL's factory surveillance reports issued during the most recent 12 months for each manufacturing location;
  - c) evidence of the resolution of any factory surveillance variances noted in these factory surveillance reports, or if not resolved at the time of review by the NRTL, documentation to enable the NRTL to adequately resolve the variance(s); and
  - d) documentation of any changes to the product(s), model(s), type(s) of product, or members of the same product family(ies) that are not addressed in the other NRTL's listing report.
- ii. performing factory surveillance, in compliance with the policies contained in this document, before certifying a product(s), model(s), type(s) of product, or members of the same product family(ies) for which no factory surveillance occurred during the most recent 12 months.
  - iii. conducting the following activities before certifying the product(s), model(s), type(s) of product, or members of the same product family(ies):
    - a) reviewing and performing an inspection of a representative sample of each product(s), model(s), type(s) of product, or members of the same product family(ies) the NRTL intends to certify, to confirm that the product(s), model(s), type(s) of product, or members of the same product family(ies) is that which has been certified and that the results from the previous certifications are still valid. A representative sample can be a product, a model, a type, a representative member of a product family, or any other grouping, so long as the grouping is representative of the product being certified. A sample is representative if the grouping of which the sample is a part is based on the same or equivalent product manufacturing characteristics or technical requirements; and
    - b) conducting any laboratory testing necessary to assure the product complies with the applicable test standard(s).
- C. If the applicant organization or NRTL accepts inspection reports, in part or in whole, the applicant organization or NRTL shall ensure that:
- i. procedures are in place to ensure that each inspection report has been completed for the applicable test standard(s) by the organization conducting

the inspection and reviewed by qualified personnel from the applicant organization or NRTL, and to ensure that personnel conducting the inspection meet the standards contained in ISO/IEC 17065:2012 Section 6.1 and Annex B Section 6.1;

- ii. procedures are in place to ensure that all inspection data originates with the organization conducting the inspection, and that no part of the inspection has been outsourced by the organization that is conducting the inspection and providing the inspection data to the applicant organization or NRTL;
- iii. procedures are in place to ensure that the organization conducting the inspection is qualified to ISO/IEC 17020:2012 using the NRTL's own qualification procedures;
- iv. the qualification of the organization conducting the inspection for its scope of testing is verified by the NRTL on an annual basis, and when the organization conducting the inspection expands or modifies its approved scope of inspection;
- v. documentation of technical correspondence and test interpretations has been maintained; and
- vi. records of any procedural or product deficiencies identified and the corresponding corrective actions have been maintained.

D. If the applicant organization or NRTL accepts inspections and test data from organizations that function as part of the IEC System of Conformity Assessment scheme for Electrotechnical Equipment and components Certification Body (CB) scheme (IECEE-CB scheme), the NRTL (including, as applicable the applicant organization, once the application for NRTL recognition is approved) shall:

- i. be recognized by OSHA for a test standard that is harmonized with the one being accepted under the IECEE-CB scheme;
- ii. physically inspect (i.e., perform a hands-on inspection of) a representative sample of each product for which the applicant organization or NRTL intends to accept inspection and test data as part of the IECEE-CB scheme, to confirm that the product is that which has been evaluated in the IECEE-CB scheme and that the results from the IECEE-CB scheme evaluation are still valid. A representative sample can be a product, a model, a type, a representative member of a product family, or any other grouping, so long as the grouping is representative of the product being certified. A sample is representative if the grouping of which the sample is a part is based on the

same or equivalent product manufacturing characteristics or technical requirements;

- iii. review each CB test certificate and CB test report to determine that the correct test standard(s) have been used and that any United States of America national differences have been applied;
- iv. use procedures for evaluation and interpretation of inspection results; and
- v. determine that components used comply with the policies adopted in compliance with Annex B Section 7.4.G and H.

E. If the applicant organization or NRTL accepts inspections and test data from organizations that function as part of the International Electrotechnical Commission System for certification to standards relating to equipment for use in Explosive Atmospheres (IECEX Scheme), the NRTL (including, as applicable, the applicant organization, once the application for NRTL recognition is approved) shall:

- i. be recognized by OSHA for a test standard that is harmonized with the one being accepted under the IECEX Scheme;
- ii. physically inspect (i.e., perform a hands-on inspection of ) a representative sample of each product for which the applicant organization or NRTL intends to accept inspection and test data as part of the IECEX Scheme, to confirm that the product is that which has been evaluated in the IECEX Scheme and that the results from the IECEX Scheme evaluation are still valid. A representative sample can be a product, a model, a type, a representative member of a product family, or any other grouping, so long as the grouping is representative of the product being certified. A sample is representative if the grouping of which the sample is a part is based on the same or equivalent product manufacturing characteristics or technical requirements;
- iii. review each IECEX test certificate (ExCB) and IECEX test report (ExTR) to determine that the correct test standards have been used and that any United States of America national differences have been applied;
- iv. use procedures for evaluation and interpretation of results;
- v. determine that components used comply with the policies adopted in compliance with Annex B Section 7.4.G and H; and
- vi. ensure compliance with Annex B Section 7.9.

- F. If the applicant organization or NRTL does not accept inspection reports, inspections or test data from organizations described in Annex B Section 7.4 C, D, or E, procedures shall state this.
- G. The applicant organization or NRTL shall have procedures addressing the initial verification required when accepting safety critical components (components) for use in an end product. These procedures shall include:
- i. policies that address acceptance of component certifications from organizations recognized by OSHA (i.e., NRTLs);
  - ii. policies that address acceptance of component certifications from organizations not recognized by OSHA, including any additional factory surveillance activity that may be necessary;
  - iii. policies that address acceptance of uncertified components, including policies addressing acceptance of certified components used outside the range of the components' certifications based on evaluation or testing in the end product and, policies addressing any additional factory surveillance activity that may be necessary; and
  - iv. a requirement to confirm that all limitations, engineering considerations, technical considerations, or conditions of acceptability stated as part of the component's certification are addressed in the end product.
- H. If an applicant organization or NRTL accepts uncertified components or certified components used outside the specified range of the component certification, the applicant organization or NRTL shall not evaluate the component for the applicable use in the end product if it does not have the capabilities, including trained personnel, procedures, equipment, or facilities, to evaluate or test the component.

#### 7.5 Review

There are no process policies supplementing Section 7.5 of ISO/IEC 17065:2012.

#### 7.6 Certification decision

The applicant organization or NRTL shall have procedures identifying all the necessary steps that must occur before an applicant organization or NRTL issues an authorization to mark or otherwise approve the release of the product, including the completion of factory surveillance at a new or an existing manufacturing facility making a new type of product.

#### 7.7 Certification documentation

- A. Procedures shall identify the information to include in the certification documentation, including, at a minimum:

- i. listing or certification number;
- ii. name of client (and if different, name of manufacturer);
- iii. factory location(s);
- iv. product description;
- v. location of testing;
- vi. product rating(s);
- vii. list of critical components;
- viii. critical or necessary constructional features and specifications that are compliant with the applicable test standard(s) and tests that were performed; and
- ix. limitations, conditions, or restrictions on the listing.

#### 7.8 Directory of certified products

- A. The applicant organization or NRTL shall have procedures and controls in place to ensure information in the directory of certified products or record is added, deleted, or modified as needed. The procedures shall also address the issuance, termination, and modification of the authorization to mark, and updating the listing records accordingly.
- B. Where a certification applies to a family or series of products, the directory of certified products shall identify the individual items covered by the certification, except for categories of products where certification is granted for all products that meet the specified construction requirements and without specifying model numbers of individual products.

#### 7.9 Surveillance

- A. The applicant organization or NRTL shall ensure that, before any manufacturing facility distributes or makes available to the user or consumer a product that an applicant organization or NRTL has certified, the applicant organization or NRTL conducts factory surveillance of the manufacturing facility to determine that the product is manufactured in compliance with the applicable test standards, and it shall prepare a record or report of this factory surveillance that shows its findings in the areas described in Annex B Section 7.9.D, below.
- B. The need to conduct factory surveillance under Annex B Section 7.9.A may be waived if the manufacturing facility is currently under factory surveillance with the

applicant organization or NRTL. The applicant organization or NRTL shall document in its records the decision to waive the factory surveillance.

- C. The applicant organization or NRTL shall conduct factory surveillance, at each manufacturing facility of products that have been certified, in order to provide the applicant organization or NRTL with confidence that certified products continue to be manufactured in compliance with applicable test standards. Factory surveillance shall involve an actual visit to each manufacturing facility.
- D. The factory surveillance shall verify the manufacturer maintains:
  - i. procedures to control production, including:
    - a) mechanisms to identify batches or production runs,
    - b) procedures to isolate non-conforming products,
    - c) procedures to notify the applicant organization or NRTL of changes to the product, production or management systems that may impact a product's compliance,
    - d) procedures for periodic review and update of master specifications,
    - e) procedures for the retention of production records,
    - f) procedures for the tracking and documentation of product defects, claims and complaints, and
    - g) procedures for controlling incoming materials and components used to make the certified product;
  - ii. adequate separation of duties between quality assurance personnel and production personnel;
  - iii. procedures to conduct periodic quality assurance verification of production runs, including:
    - a) sampling procedures, and
    - b) a requirement for verification inspections and tests to be conducted by individuals who are independent of production; and
  - iv. procedures for production line verifications and tests, when required by the test standard or applicant organization or NRTL, using properly calibrated and maintained test equipment that is routinely checked by the manufacturing facility.

- E. Personnel shall conduct factory surveillance at manufacturing facilities without advance warning or notice to the manufacturer, except in situations when there is limited seasonal production, or when production has not been available for factory surveillance for a period exceeding 12 months. Procedures shall be in place to address factory surveillance that may be impacted due to travel restrictions (e.g., war, military activity or bad weather that prevents travel).
- F. The applicant organization or NRTL shall perform no fewer than four (4) factory surveillance visits per year at manufacturing facilities where any of the following situations occur:
  - i. the products are intended for use in hazardous (classified) locations;
  - ii. the applicant organization or NRTL has evidence, or suspects, that the manufacturer has not been producing a product in conformance with product safety requirements or maintaining appropriate controls over its production process at a facility; or
  - iii. the applicant organization or NRTL has evidence or suspects that the manufacturer is not using or controlling the NRTL's (including, as applicable, the applicant organization, once application for NRTL recognition is approved) certification mark(s) correctly.
- G. Factory surveillance may be performed less frequently, but no fewer than two (2) factory surveillance visits per year, at any facilities where concerns as described in Annex B Section 7.9.F do not exist, provided the manufacturer demonstrates ongoing quality assurance programs, control programs, and effectiveness in meeting product safety requirements. The applicant organization or NRTL shall retain evidence or justification that supports the decision to allow less than four (4) factory surveillance visits per year.
- H. The applicant organization or NRTL shall physically inspect (i.e., perform a hands-on inspection of) a representative sample of each product at least once every two years, unless the applicant organization or NRTL has confirmed there has been no production of the certified product for the previous two years. A representative sample can be a product, a model, a type, a representative member of a product family, or any other grouping, so long as the grouping is representative of the product being certified. A sample is representative if the grouping of which the sample is a part is based on the same or equivalent product manufacturing characteristics or technical requirements.
- I. The applicant organization or NRTL may use the factory surveillance of a product at a manufacturing facility to meet the factory surveillance requirements for other products manufactured at the same facility if the other products are similar in type



to the product. Similar product types are products grouped in a category based on the same or equivalent product manufacturing characteristics or technical requirements.

- J. Factory surveillance activities, and the content of reports or records of these activities, shall include or address the following, at a minimum:
- i. physical examination of the certified product being inspected compared with a document that describes the product, or, when no product is available at the time of a factory surveillance visit, examination of appropriate documentation (such as specification and purchasing documents);
  - ii. verification of in-process and final testing that is required by the applicable test standard(s), or that is regularly conducted at the factory as a part of the manufacturer's management system;
  - iii. confirmation of the use of accepted components;
  - iv. monitoring the use and control of the NRTL's (including, as applicable, the applicant organization, once application for NRTL recognition is approved) certification mark; and
  - v. calibration of equipment used in testing.
- K. Factory surveillance procedures shall address:
- i. justification of the factory surveillance frequency and changes to the frequency that the certification body has adopted for a facility or for a particular type of product;
  - ii. products having seasonal or non-regular production cycles, as well as any concerns that can exist with production lines that are intermittent;
  - iii. reinstatement of factory surveillance when the surveillance has been suspended due to lack of production or stock of certified products;
  - iv. addition, deletion, or modification of information about manufacturing locations for products tested and certified; and
  - v. scheduling factory surveillances, verifying they have been performed, and taking any corrective action when the schedule is not met.
- L. The use of factory surveillance performed by another NRTL is acceptable. However, use of factory surveillance data provided by another NRTL does not relieve the applicant organization or NRTL from ensuring that required factory surveillances are

performed. The applicant organization or NRTL and the other NRTL shall have a formal agreement that allows for use of the other NRTL's factory surveillance data. In addition, procedures shall be in place that require:

- i. retention of all factory surveillance reports from the other NRTL, including retention of any non-conformances and corrective actions
  - ii. review of all factory surveillance reports from the other NRTL, including review of non-conformances and corrective actions; and
  - iii. adequate resolution of issues that may call into question the other NRTL's factory surveillance, such as inadequate factory surveillance data or failure to address non-conformances.
- M. The applicant organization or NRTL shall have procedures to address deficiencies found during factory surveillance, including procedures for tracking these deficiencies and ensuring the deficiencies are resolved.
- N. The applicant organization or NRTL shall have procedures for performing field inspections, including procedures for identifying where each field inspection will be performed, the nature and frequency of the activities that will be performed, and when such field inspections are necessary.

#### 7.10 Changes affecting certification

The NRTL shall immediately advise OSHA of any safety-related product hazards or nonconformances that result in suspension or withdrawal of certification, or any known safety-related recalls involving products that were certified for the United States of America marketplace under the NRTL's Scope of Recognition.

#### 7.11 Termination, reduction, suspension or withdrawal of certification

There are no process policies supplementing Section 7.11 of ISO/IEC 17065:2012.

#### 7.12 Records

There are no process policies supplementing Section 7.12 of ISO/IEC 17065:2012.

#### 7.13 Complaints and appeals

There are no process policies supplementing Section 7.13 of ISO/IEC 17065:2012.

### 8. Management System Policies

To meet this policy, an applicant organization or NRTL must comply with Section 8 of ISO/IEC 17065:2012, as follows, and the following additional management system policies.

#### 8.1 Options

To meet the management system policies, an applicant organization or NRTL shall comply with all of Section 8, Option A, of ISO/IEC 17065:2012. Compliance with

Section 8, Option B, does not constitute compliance with the management system policies.

8.2 General management system documentation (Option A)

There are no management system policies supplementing Section 8.2 of ISO/IEC 17065:2012.

8.2.1 Applicability

The applicant organization or NRTL shall follow all policies, programs and procedures it develops in compliance with this Annex.

8.3 Control of documents (Option A)

There are no management system policies supplementing Section 8.3 of ISO/IEC 17065:2012.

8.4 Control of records (Option A)

There are no management system policies supplementing Section 8.4 of ISO/IEC 17065:2012.

8.5 Management review (Option A)

There are no management system policies supplementing Section 8.5 of ISO/IEC 17065:2012.

8.6 Internal audits (Option A)

There are no management system policies supplementing Section 8.6 of ISO/IEC 17065:2012.

8.7 Corrective actions (Option A)

There are no management system policies supplementing Section 8.7 of ISO/IEC 17065:2012.

8.8 Preventive Actions (Option A)

There are no management system policies supplementing Section 8.8 of ISO/IEC 17065:2012.

## **Annex C - Terms and Definitions**

For the purposes of Annex A and Annex B, the terms and definitions given in ISO/IEC 17000:2004, and the terms and definitions given in ISO/IEC 17065: 2012, apply unless otherwise defined below.

- a. Accredited  
Unless otherwise specified in Annex A or Annex B, “accredited” means accreditation to ISO/IEC 17025:2005 by an International Conformity Assessment System signatory (Ex. ILAC, IAF or similar) for the appropriate scope of testing.
- b. Accreditation  
As defined in ISO/IEC 17000: 2004.
- c. Applicant Organization  
An organization that is applying for initial recognition as a NRTL.
- d. Attestation  
As defined in ISO/IEC 17000: 2004.
- e. Certification  
A NRTL’s attestation, indicated by the NRTL’s certification mark on a product or, if not feasible, on the smallest unit packaging of the product, related to one or more specific test standard(s) included in the NRTLs scope of recognition.
- f. Certification Mark  
A third party mark of conformity as defined in ISO/IEC 17030:2003.
- g. Certified Product  
A product for which OSHA standards require certification by a NRTL, and for which the NRTL has authorized the placement of its certification mark and conducts factory surveillance.
- h. Conditions of Acceptability  
The limitations and conditions for the use of a component in an end product, based on the inspection and testing of the component.
- i. Conformity Assessment  
As defined in ISO/IEC 17000: 2004.

- j. Conformity Assessment Body  
As defined in ISO/IEC 17000: 2004.
- k. Engineering Considerations  
A record of the conditions (i.e., physical, environmental) or assumptions under which a product was tested or inspected. These conditions or assumptions may include additional testing or inspection when incorporating a component(s) into an end product.
- l. Evaluation  
A determination of the extent to which a product, process or service fulfills specified requirements.
- m. Factory Surveillance  
Surveillance, as defined in ISO/IEC 17000: 2004.
- n. Field Inspection  
An inspection of a product that a NRTL has certified to monitor and to assure the proper use of the NRTL's identifying mark or labels on the product. Field inspections are required by 29 CFR 1910.7(b)(2)(iii).
- o. Inspection  
As defined in ISO/IEC 17000: 2004.
- p. IEC System of Conformity Assessment scheme for Electrotechnical Equipment and Components CB Scheme (IECEE-CB Scheme)  
A certification body scheme that requires participating members to accept test reports from other participating members, unless there are documented technical reasons why a test report is unacceptable.
- q. International Electrotechnical Commission System for certification to standards relating to equipment for use in Explosive Atmospheres (IECEx Scheme)  
A certification body scheme for equipment that is intended to be used in potentially explosive atmospheres. The scheme requires participating members to accept test reports from other participating members, unless there are documented technical reasons why a test report is unacceptable. Products are inspected and tested using the International Standards listed on the IECEx Certificate.

- r. Laboratory Management  
Laboratory personnel that ensure overall compliance with applicable test standards as well as compliance to OSHA's NRTL Program regulations, 29 CFR 1910.7, the criteria set out in ISO/IEC 17025:2005, and OSHA-specific testing requirements and policies.
- s. Manufacturing Facility  
An establishment used for fabricating or assembling a product (model or item). A facility that only distributes products is not a manufacturing facility.
- t. Nationally Recognized Testing Laboratory (NRTL)  
A legal entity recognized by OSHA as meeting the requirements in 29 CFR 1910.7.
- u. Procedure  
As defined in ISO/IEC 17000: 2004.
- v. Recognition  
An acknowledgement by OSHA that an organization has necessary qualifications to perform safety testing and certification of products to specific test standard(s) at specific site(s), as specified by the organization's scope of recognition.
- w. Recognized Site  
A site included in a NRTL's scope of recognition. To be recognized, a site must be administratively and operationally controlled by the NRTL and must perform at least one of the following functions: testing and inspection (and/or accepting test data or inspections), performing reviews, or making certification decisions with the NRTL management system.
- x. Review  
As defined in ISO/IEC 17000:2004.
- y. Safety Critical Component (Component)  
A product-part whose functions or features are essential for maintaining compliance with an applicable test standard.
- aa. Sampling  
As defined in ISO/IEC 17000: 2004.
- bb. Scope of Recognition  
The specific test standard(s) and site(s) for which OSHA recognizes a NRTL.

- cc. Specified Requirement  
As defined in ISO/IEC 17000: 2004.
- dd. Technical Considerations  
A term synonymous with, and commonly used in place of, “engineering considerations,” defined above.
- ee. Test Procedure  
Instructions to follow in examining and testing a type of product, or in performing a specific type of test.
- ff. Test Standard  
Within the context of the requirements under 29 CFR 1910.7, a document that provides, for common and repeat use, specific tests, characteristics or results that products must meet for purposes of assuring they are safe for use.
- gg. Unrecognized Site  
A site at which testing and inspection activities are performed that is not a recognized site.


## **Annex D -NRTL Forms**

The NRTL Program uses the following forms for Initial NRTL Recognition, Expansion of NRTL Recognition and Renewal of NRTL recognition.

- NRTL Initial Application, Expansion and/or Scope Reduction Request (Form I)
- NRTL Initial Application and Expansion Test Standard Worksheet (Form II)
- NRTL Application, Expansion Company Profile Worksheet (Form III)
- Request for Renewal/NRTL Certification of Continued Compliance Attestation (Form IV)



**NRTL Initial Application, Expansion and/or Scope Reduction Request (Form I)**

<b>NRTL Initial Application, Expansion, and / or Scope Reduction Request</b>		 OMB No. 1218-0147 / Expires: 11/30/2021	
<b>Form I Part I: General Information</b>			
<b>1. Legal Name of Applicant:</b>			
<b>2. Applicant Headquarters Physical Address:</b>			
<b>a. Street Address:</b>			
<b>b. City:</b>	<b>c. State/Province/Country</b> <i>(as applicable):</i>	<b>d. Postal Code:</b>	
<b>3. Applicant Headquarters Mailing Address</b> <i>(if different from physical address)</i>			
<b>a. Street Address:</b>			
<b>b. City:</b>	<b>c. State/Province/Country</b> <i>(as applicable):</i>	<b>d. Postal Code:</b>	
<b>4. Applicant Website Information</b>			
<b>a. Website Address:</b>			
<b>b. Web Address of online certification directory:</b>			
<b>c. Web Address of online certification mark page:</b>			
<b>5. Primary Point of Contact Information</b>			
<b>a. Name:</b>		<b>b. Title/Position:</b>	
<b>c. Telephone Number</b> <b>(with country code):</b>		<b>d. Fax Number:</b>	
<b>e. Email Address:</b>			
<b>6. Alternate Point of Contact Information</b>			
<b>a. Name:</b>		<b>b. Title/Position:</b>	

<b>c. Telephone Number (with country code):</b>		<b>d. Fax Number:</b>	
<b>e. Email Address:</b>			
<b>Form I Part II: Reason for Request</b>			
<b>7. Type of Request</b> <i>(Check all that apply)</i>			
<input type="checkbox"/> a. Initial Recognition	<input type="checkbox"/> b. Expansion – New Site(s)	<input type="checkbox"/> c. Expansion – Additional Test Standards	<input type="checkbox"/> d. Scope Reduction
<input type="checkbox"/> e. Other			
<b>8. Brief Explanation of Request – Including a List of Standards Requested:</b>			

<b>Form I Part III: Site Information</b>		
Enter information as indicated for each site to be included in this request.		
For Expansions and Reductions – <b>OMIT if no changes are involved</b>		
<b>9. Applicant Site Information</b>		
<b>a. Site Name and Contact Information</b>	<b>b. Site Information</b>	<b>c. Physical Address and Phone Numbers</b>
Site Name:	<b>Site Type</b> <input type="checkbox"/> HQ Site <input type="checkbox"/> Recognized Site	Address:
Site POC:	<b>Key Location</b> <input type="checkbox"/> HazLoc Testing <input type="checkbox"/> LP Gas Testing <input type="checkbox"/> Fire Suppression <input type="checkbox"/> Medical Equipment	Site Phone Number(s):
POC Email:		POC Phone Number(s):
Site Name:	<b>Site Type</b> <input type="checkbox"/> HQ Site <input type="checkbox"/> Recognized Site	Address:
Site POC:	<b>Key Location</b> <input type="checkbox"/> HazLoc Testing <input type="checkbox"/> LP Gas Testing <input type="checkbox"/> Fire Suppression <input type="checkbox"/> Medical Equipment	Site Phone Number(s):
POC Email:		POC Phone Number(s):
Site Name:	<b>Site Type</b> <input type="checkbox"/> HQ Site <input type="checkbox"/> Recognized Site	Address:
Site POC:	<b>Key Location</b> <input type="checkbox"/> HazLoc Testing <input type="checkbox"/> LP Gas Testing	Site Phone Number(s):

POC Email:	<input type="checkbox"/> Fire Suppression <input type="checkbox"/> Medical Equipment	POC Phone Number(s):
Site Name:	<b>Site Type</b> <input type="checkbox"/> HQ Site <input type="checkbox"/> Recognized Site	Address:
Site POC:	<b>Key Location</b> <input type="checkbox"/> HazLoc Testing <input type="checkbox"/> LP Gas Testing <input type="checkbox"/> Fire Suppression <input type="checkbox"/> Medical Equipment	Site Phone Number(s):
POC Email:		POC Phone Number(s):
Site Name:	<b>Site Type</b> <input type="checkbox"/> HQ Site <input type="checkbox"/> Recognized Site	Address:
Site POC:	<b>Key Location</b> <input type="checkbox"/> HazLoc Testing <input type="checkbox"/> LP Gas Testing <input type="checkbox"/> Fire Suppression <input type="checkbox"/> Medical Equipment	Site Phone Number(s):
POC Email:		POC Phone Number(s):
Site Name:	<b>Site Type</b> <input type="checkbox"/> HQ Site <input type="checkbox"/> Recognized Site	Address:
Site POC:	<b>Key Location</b> <input type="checkbox"/> HazLoc Testing <input type="checkbox"/> LP Gas Testing <input type="checkbox"/> Fire Suppression <input type="checkbox"/> Medical Equipment	Site Phone Number(s):
POC Email:		POC Phone Number(s):

### Form I Part IV: Verification of NRTL Requirements

The legal signatory's initials in this part constitute the applicant's certification of compliance / intent to comply with the NRTL Program requirements contained in 1910.7 and the terms of the NRTL's recognition as identified in Chapter II, Section F2 (required information) of the NRTL Program Policies, Procedures and Guidelines update.

### Form I Part V: Certification of Information

**11.** As legal signatory for \_\_\_\_\_, the applicant, I attest that all statements and information contained in this form are correct to the best of my knowledge and are made in good faith. I also attest that my initials in Part III, "Verification of NRTL Requirements," constitute the applicant's certification of intent to comply / continuing compliance with the NRTL Program requirements contained in 1910.7. In addition, I attest that the applicant will: a) comply with all the policies, conditions, and requirements for recognition that OSHA imposes through its regulations, Directives, and Federal Register notices; b) operate as a NRTL only within the NRTL's approved scope of recognition (applicable test standards and sites), following the policies, procedures, structures, and practices described in the NRTL's original or amended application accepted by OSHA, or in appropriate and approved revisions made after recognition; and c) promptly submit details to OSHA of any major changes in the NRTL's operations.

**12.** Legal Signatory (type or print name):

13. Signature:	14. Date:
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**Paperwork Reduction Act Statement****OMB Control Number: 1218-0147**

According to the Paperwork Reduction Act of 1995, no person is required to respond to a collection of information unless such collection displays a valid OMB control number. Public reporting burden for this collection of information is estimated to average 160 hours for an initial application and no more than 24 hours for an expansion. This burden includes locating and assembling information required to complete the application. It may also include an on-site inspection / audit. The obligation to respond to this collection is voluntary. Information obtained from this form will be used to determine if the application and supporting information meets the requirements of the NRTL Program as outlined in 29 CFR 1910.7. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to: U.S. Department of Labor, OSHA, Office of Technical Programs and Coordination Activities, Directorate of Technical Support and Emergency Management, 200 Constitution Avenue, NW, Room N3655, Washington, DC 20210.

**Form I General Completion Directions**

OSHA safety standards require that specified equipment and materials (products) be tested and certified for safety by an OSHA-recognized organization. OSHA's Nationally Recognized Testing Laboratory (NRTL) Program fulfills this responsibility by recognizing the capabilities of mainly private sector testing organizations to test and certify such products for manufacturers.

To be recognized, an organization must meet OSHA's requirements. Initial recognition is granted if the application and an on-site audit of the organization demonstrate the applicant has the capability to test and certify products for safety. An organization must have the necessary capability both as a testing laboratory and as a product certification body to receive OSHA recognition as a NRTL. Once recognized, OSHA reviews each NRTL's activities to assure it continues to comply. The NRTL can also request an expansion of its recognition. This form, and its attachments, asks the NRTL to verify its general information as well as provide specific information related to its facilities and capabilities to meet NRTL Program requirements. Completing this form is entirely voluntary. Each applicant is free to submit an application for initial recognition or expansion using any form it chooses. However, OSHA will consider applications that do not contain the information requested in this form to be deficient and may delay or deny the request.

An applicant that chooses to use this form for initial recognition or expansion must send: (1) this completed form; (2) any additional information it wishes to submit to demonstrate capabilities to meet NRTL Program requirements; and (3) payment to:

Director  
Office of Technical Programs and Coordination Activities  
Directorate of Technical Support and Emergency Management  
Occupational Safety and Health Administration  
US Department of Labor  
200 Constitution Avenue NW, Room N3655  
Washington, DC 20210

Completed and signed forms and any accompanying documentation may also be scanned and emailed to [ntlprogram@dol.gov](mailto:ntlprogram@dol.gov). For questions, contact the Office of Technical Programs and Coordination Activities at +1.202.693.2110



### Form I Part I Directions

Part I of this form provides basic information related to the applicant. The information will be used to update applicant records and information posted on OSHA's NRTL webpage. Complete each block as indicated below.

- Block 1:** Enter the legal business name of the applicant as currently recognized or requested. **Note:** If the applicant wishes to use a name that is different from the name listed on OSHA's NRTL page (see <http://www.osha.gov/dts/otpca/nrtl/nrtllist.html>), the applicant must submit a request for name change to OSHA's NRTL Program office using the contact information listed above.
- Block 2:** Enter the physical street address, city, state, and postal code and country for the headquarters office of the applicant. For international addresses, enter the province followed by the country name in **Block 1c**.
- Block 3:** Enter the mailing address, city, state, and postal code and country for the headquarters office of the applicant. For international addresses, enter the province followed by the country name in **Block 2c**.
- Block 4:** **Block 4a.** Enter the URL for the applicant's home webpage.
- Block 4b.** Enter the URL for the applicant's online product certification listing. Note: if the applicant does not have a resource online, include a URL to a webpage that provides directions as to how a product certification may be obtained.
- Block 4c.** Enter the URL to the webpage or online resource that explains the usage of the applicant's certification mark as it applies to OSHA's NRTL Program.
- Block 5:** Enter contact information of the applicant's primary point of contact. Include their name, title, telephone number with country code, fax number, and email address.
- Block 6:** Enter contact information of the applicant's alternate point of contact. Include their name, title, telephone number with country code, fax number, and email address.

### Form I Part II Directions

Please identify the reason for the application. For initial requests, ensure to include the Company Profile Worksheet. For initial requests and expansions of test standards, refer to the Test Standard Worksheet.

- Block 7:** In **Block 7a** through **Block 7e**, place a check next to each action that applies to this application. For **Block 7e**, ensure a description of the action is included in **Block 8**.
- Block 8:** Provide a brief description of the action being requested.

### Form I Part III Directions

Please enter the site name and address for each site to be included in this application. Use additional pages as required.

**Block 9:**     **Block 9a.** Enter the full name of the laboratory to be included with this application. Enter the point of contact (POC) for this site and the POC's email address.

**Block 9b.** Place a check next to the box that is most appropriate site type for the site being added in this application. Place a check next to each box under key locations if the activity is performed at the site.

**Block 9c.** Enter the complete physical address, site phone number and the POC phone number for the site being added. Be sure to include the name of the country and the telephone country code for international sites.

### Form I   Part V Directions

Part V is the applicant's certification that it will comply / continue to comply with the requirements of the NRTL Program as outlined in 29 CFR 1910.7, its letter of recognition, and supporting NRTL Program Directive and guidelines. The blocks in Part V must be completed by the legal signatory for the applicant.

**Block 11:**     Enter the legal business name of the applicant. See note in **Block 1** for additional information related to a name change for a NRTL.


**Block 12:**     Print or type the name of the individual having legal signatory authority for the applicant.

**Block 13:**     Enter the signature of the individual having legal signatory authority for the applicant

**Block 14:**     Enter the date the individual with legal signatory authority signed this document.



**NRTL Initial Application and Expansion Test Standard Worksheet (Form II)**

<b>NRTL Initial Application and Expansion Test Standard Worksheet</b>		 OMB No. 1218-0147 / Expires: 11/30/2021
<b>Form II    Part I: General Information</b>		
<b>1. Test Standard Designation:</b>	<b>2. Test Standard Title:</b>	
<b>3. Year of Issue or Revision:</b>	<b>4. Approved By</b> ( <i>ANSI, ISA, ASTM, etc.</i> ):	
<b>5. Name of Laboratory Test Site:</b>		
<b>6. Laboratory Test Site Physical Address</b>		
<b>a. Street Address:</b>		
<b>b. City:</b>	<b>c. State/Province/Country:</b>	<b>d. Postal Code:</b>
<b>Form II    Part II: Test Equipment</b>		
<b>7. For each item below, identify test instruments to be used when capturing test data</b>		
<b>a. Test Standard Clause(s)</b>	<b>b. Type Test or Measurement</b>	<b>c. Manufacturer Name and Model Number</b>

## Form II      Part III: Test Procedure

**8. For each item below, identify test standards for which laboratory test procedures have been or will be developed when capturing test data**

a. Test Standard Clause(s)	b. Laboratory Test Procedures	c. Procedures in Place?
		<input type="checkbox"/> Yes <input type="checkbox"/> No
		<input type="checkbox"/> Yes <input type="checkbox"/> No
		<input type="checkbox"/> Yes <input type="checkbox"/> No
		<input type="checkbox"/> Yes <input type="checkbox"/> No
		<input type="checkbox"/> Yes <input type="checkbox"/> No
		<input type="checkbox"/> Yes <input type="checkbox"/> No
		<input type="checkbox"/> Yes <input type="checkbox"/> No

## Form II      Part IV: Test Data Recording Approach (Data Sheets)

**9. Describe approach for recording test data:**

**10. For each item below, identify the test clauses covered and the name (or filename) of the corresponding datasheet**

a. Test Standard Clause(s)	b. Name of Test Datasheet and Datasheet Item <i>(datasheet title or filename as appropriate)</i>

## Form II    Part V: Special Apparatus or Facilities

**12. For each item below, identify new facilities (environmental conditions, power supplies, test fixtures, etc.) that have been or will be developed to perform testing when capturing test data**

a. Test Standard Clause(s)	b. Description of unique or specified facilities	c. Facilities in Place?
		<input type="checkbox"/> Yes <input type="checkbox"/> No
		<input type="checkbox"/> Yes <input type="checkbox"/> No
		<input type="checkbox"/> Yes <input type="checkbox"/> No
		<input type="checkbox"/> Yes <input type="checkbox"/> No
		<input type="checkbox"/> Yes <input type="checkbox"/> No
		<input type="checkbox"/> Yes <input type="checkbox"/> No



**Form II    Part VI: Program Integration**

**13. How will this test standard be integrated into the laboratories training and qualification system?**

**14. How will this test standard be integrated into the applicant's factory surveillance program?**

**15. Approximate number of products currently evaluated under this standard.**

**16. Actual Number of products currently certified under this standard.**

**Form II    Part VII: Comparability Analysis Matrix** *(optional)*

**13. For each item below, identify special requirements / considerations when capturing test data**

<b>a. Test Standard Clause</b>	<b>b. Comparable Standard</b>	<b>c. Comparable Standard Clause</b>	<b>d. Significant Difference</b>	<b>e. Information NRTLs need to submit to cover significant differences</b>

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<b>Paperwork Reduction Act Statement</b>	<b>OMB Control Number: 1218-0147</b>
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According to the Paperwork Reduction Act of 1995, no person is required to respond to a collection of information unless such collection displays a valid OMB control number. Public reporting burden for this collection of information is estimated to average 2 hours for each test standard. This burden includes locating and assembling information required to complete the application and is included in the burden calculated for initial applications and expansions. The obligation to respond to this collection is voluntary. Information obtained from this form will be used to determine if the application and supporting information meets the requirements of the NRTL Program as outlined in 29 CFR 1910.7. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to: U.S. Department of Labor, OSHA, Office of Technical Programs and Coordination Activities, Directorate of Technical Support and Emergency Management, 200 Constitution Avenue, NW, Room N3655, Washington, DC 20210.

## Form II General Completion Directions

OSHA safety standards require that specified equipment and materials (products) be tested and certified for safety by an OSHA-recognized organization. OSHA's Nationally Recognized Testing Laboratory (NRTL) Program fulfills this responsibility by recognizing the capabilities of mainly private sector testing organizations to test and certify such products for manufacturers.

To be recognized, an organization must meet OSHA's requirements. Initial recognition is granted if the application and an on-site audit of the organization demonstrate the applicant is completely has the capability to test and certify products for safety. An organization must have the necessary capability both as a testing laboratory and as a product certification body to receive OSHA recognition as a NRTL. Once recognized, OSHA reviews each NRTL's activities to assure it continues to comply. The NRTL can also request an expansion of its recognition. This form, and its attachments, asks the NRTL to verify its general information as well as provide specific information related to its facilities and capabilities to meet NRTL Program requirements. Completing this form is entirely voluntary. Each applicant is free to submit an application for initial recognition or expansion using any form it chooses. However, OSHA will consider applications that do not contain the information requested in this form to be deficient and may delay or deny the request.

An applicant that chooses to use this form for initial recognition or expansion must send: (1) this completed form; (2) any additional information it wishes to submit to demonstrate capabilities to meet NRTL Program requirements; and (3) payment to:

Director  
Office of Technical Programs and Coordination Activities  
Directorate of Technical Support and Emergency Management  
Occupational Safety and Health Administration  
US Department of Labor  
200 Constitution Avenue NW, Room N3655  
Washington, DC 20210

Completed and signed forms and any accompanying documentation may also be scanned and emailed to [nrtlprogram@dol.gov](mailto:nrtlprogram@dol.gov). For questions, contact the Office of Technical Programs and Coordination Activities at +1.202.693.2110

## Form II Part I Directions

Part I of this form provides basic information related to the test standard. The information will be used to determine if the standard is appropriate. Complete each block as indicated below.

**Block 1:** Enter the designation for the requested test standard (e.g., UL 2305).

**Block 2:** Enter the full title for the requested test standard (e.g., Exhibition Display Units, Fabrication, and Installation).



- Block 3:** Enter the year the test standard was recognized or revised by the standard development organization.
- Block 4:** Enter the name of the standards development organization that developed and approved the test standard
- Block 5:** Enter the name of the test site that is currently recognized or requested where this testing will be conducted. If more than one test site, list the primary test site or company headquarters.
- Block 6:** Enter the physical street address, city, state, and postal code for the headquarters office of the applicant. For international addresses, enter the province followed by the country name in **Block 6c**.

### Form II Part II Directions

Please identify at least one representative example of test equipment owned by the applicant that will be used to meet the requirements outlined in the requested test standard.

- Block 7:**     **Block 7a.** Enter the clause(s) in the test standard that require the use of the test equipment.
- Block 7b.** Enter the type of measurement the test equipment will be used for in relation to the clause identified in **Block 7a**.
- Block 7c.** Enter the name and model number of the test equipment used to take the measurement defined in **Block 7b**.

### Form II Part III Directions

Please enter test clauses associated with the requested test standard that require special consideration or special requirements when capturing test data. Identification of special requirements will facilitate the analysis of newly identified test standards.

- Block 8:**     **Block 8a.** Enter the clause(s) in the test standard that the NRTL will address with test laboratory procedures.
- Block 8b.** Enter the procedure the applicant proposes to use to address the special requirements and / or consideration as outlined in the clause identified in **Block 8a**.
- Block 8c.** Check *Yes* or *No* to verify if the procedure defined in **Block 8b** is currently in place at the applicant test site.

### Form II Part IV Directions

Please enter the approach to meeting the requirements for capturing and recording test data defined in the test standard.

- Block 9:**     Provide a detailed description of the approach the applicant intends to use to capture and record test data. Include any test datasheets associated with this test standard with the applicant's submission.

<b>Block 10</b>	<b>Block 10a.</b> Enter the clause(s) in the test standard that contain specific data collection requirements.
<b>Block 10</b> (continued)	<b>Block 10b.</b> Enter the name of the datasheet and the item number used to capture this information. If using an alternate data collection procedure, identify the procedure clause that describes how the test data for the clause(s) identified in <b>Block 10a</b> .
<b>Form II Part V Directions</b>	
Please enter the special facilities or apparatus that is required to conduct the test for which the applicant applied.	
<b>Block 12</b>	<p><b>Block 12a.</b> Enter the clause(s) in the test standard that have requirements for special facilities or apparatus.</p> <p><b>Block 12b.</b> Enter the procedure the applicant proposes to use to address the required special facility and / or apparatus outlined in the clause identified in <b>Block 12a</b>.</p> <p><b>Block 12c.</b> Check <i>Yes</i> or <i>No</i> to verify if the facilities and /or apparatus defined in <b>Block 12b</b> is currently in place at the applicant test site.</p>
<b>Form II Part VI Directions</b>	
Please enter the special facilities or apparatus that is required to conduct the test for which the applicant applied.	
<b>Block 13</b>	Provide a description of how the requirements of the proposed test procedures will be integrated into the organization's training and qualification programs.
<b>Block 14</b>	Provide a description of how the requirements of the proposed test procedures will be integrated into the organization's factory surveillance programs.
<b>Block 15</b>	Enter the appropriate number of products currently tested by the applicant under this standard ( <i>includes testing conducted outside the NRTL Program</i> ). If unsure, provide best approximation or number over a specific time period. (Ex: 100 over past 12 months)
<b>Block 16</b>	Enter the number of products currently listed by the applicant under this standard ( <i>includes testing conducted outside the NRTL Program</i> ).

<b>Form II Part VII Directions</b>
<p>Part VII provides an alternative method for validating a NRTL has the requisite capabilities to meet the requirements to conduct a test in accordance with the specifications outlined in the requested test standard. Part VII relies on comparing the currently recognized capabilities of a NRTL with comparable requirements outlined in the requested test standard. Part VII can be used to identify similarities in capabilities and differences. In identifying differences in capabilities, the NRTL need only demonstrate how these differences will be addressed in their operations. Because Part VII relies on currently recognized capabilities, it is not available for use by new initial applicants.</p>

**Block 13**    **Block 13a.** Enter the clause of the requested test standard.


**Block 13b.** Enter the number of the comparable test standard

**Block 13c.** Enter the clause(s) in the test standard listed in **Block 13b** that defines comparable requirements to a requirement in the requested test standard.

**Block 13d.** Enter a description of the significant differences, if any, between the requirements outlined in the test standard listed in **Block 13a** and those outlined in the requested test standard

**Block 13e.** Enter any additional information the NRTL would need to include to demonstrate their capabilities in being able to perform the requirements identified in **Block 13d**.

**NRTL Company Profile Worksheet (Form III)**

<b>NRTL Application, Expansion Company Profile Worksheet</b>		 OMB No. 1218-0147 / Expires: 11/30/2021
<b>Form III Company Profile</b> <i>(for initial applications only)</i>		
<b>1. Legal Name of Applicant:</b>		
<b>2. Applicant Owner(s) and Key Officers</b>		
<b>a. Name</b>	<b>b. Title</b>	
<b>3. Explanation of Impartiality</b> <i>(independence):</i>		
<b>4. Primary Field of Testing:</b>		

**5. Brief profile and history of company – include principle line(s) of business:**

**Paperwork Reduction Act Statement**

**OMB Control Number: 1218-0147**

According to the Paperwork Reduction Act of 1995, no person is required to respond to a collection of information unless such collection displays a valid OMB control number. Public reporting burden for this collection of information is estimated to average 1 hour. This burden includes locating and assembling information required to complete the application and is included in the burden calculated for initial applications. The obligation to respond to this collection is voluntary. Information obtained from this form will be used to determine if the application and supporting information meets the requirements of the NRTL Program as outlined in 29 CFR 1910.7. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to: U.S. Department of Labor, OSHA, Office of Technical Programs and Coordination Activities, Directorate of Technical Support and Emergency Management, 200 Constitution Avenue, NW, Room N3655, Washington, DC 20210.

## Form III Completion Directions – General Guidance

OSHA safety standards require that specified equipment and materials (products) be tested and certified for safety by an OSHA-recognized organization. OSHA's Nationally Recognized Testing Laboratory (NRTL) Program fulfills this responsibility by recognizing the capabilities of mainly private sector testing organizations to test and certify such products for manufacturers.

To be recognized, an organization must meet OSHA's requirements. Initial recognition is granted if the application and an on-site audit of the organization demonstrate the applicant is completely has the capability to test and certify products for safety. An organization must have the necessary capability both as a testing laboratory and as a product certification body to receive OSHA recognition as a NRTL. Once recognized, OSHA reviews each NRTL's activities to assure it continues to comply. The NRTL can also request an expansion of its recognition. This form, and its attachments, asks the NRTL to verify its general information as well as provide specific information related to its facilities and capabilities to meet NRTL Program requirements. Completing this form is entirely voluntary. Each applicant is free to submit an application for initial recognition using any form it chooses. However, OSHA will consider applications that do not contain the information requested in this form to be deficient and may delay or deny the request.

An applicant that chooses to use this form for initial recognition must send: (1) this completed form; (2) any additional information it wishes to submit to demonstrate capabilities to meet NRTL Program requirements; and (3) payment to:

Director  
Office of Technical Programs and Coordination Activities  
Directorate of Technical Support and Emergency Management  
Occupational Safety and Health Administration  
US Department of Labor  
200 Constitution Avenue NW, Room N3655  
Washington, DC 20210 USA

Completed and signed forms and any accompanying documentation may also be scanned and emailed to [nrtlprogram@dol.gov](mailto:nrtlprogram@dol.gov). For questions, contact the Office of Technical Programs and Coordination Activities at +1.202.693.2110

### Form III Company Profile

The company profile provides an overview of the ownership structure of the applicant. It is used to assist in determining an applicant's impartiality in conducting product safety testing and certification. It is also used to develop a profile for the applicant's business and identify the leadership for the applicant.

**Block 1:** Enter the legal business name of the applicant as currently recognized or requested. **Note:** If the applicant wishes to use a name that is different from the name listed on OSHA's NRTL page (see <http://www.osha.gov/dts/otpc/nrtl/nrtllist.html>), the applicant must submit a request for name change to OSHA's NRTL Program office using the contact information listed above.

**Block 2:** **Block 2a.** Enter the name of the organization officer or official.

**Block 2b.** Enter the title of the organization officer or official

**Block 3:** Provide an explanation of how the applicant will ensure impartiality on product safety testing and certification. Provide any documentation such as agreements or independent validation associated with the explanation.


**Note:** Accreditation in ISO/IEC 17065 by a recognized third-party accreditation body will meet independent validation requirements of impartiality. Inclusion of the applicant's ISO/IEC 17065 accreditation certificate and accreditation worksheets will meet documentation requirements for proof of impartiality.

**Block 4:** Provide a description of the testing laboratory / certification body's primary field of testing and certification.

**Block 5:** Provide a brief profile and history of the company to include the company's principle line of business. Use additional pages as required.



**Request for Renewal/NRTL Certification of Continued Compliance (Form IV)**

<b>Request for Renewal / NRTL Certification of Continued Compliance Attestation</b>		 OMB No. 1218-0147 / Expires: 11/30/2021	
<b>Part I: General Information</b>			
<b>1. Legal Name of NRTL:</b>			
<b>2. NRTL Headquarters Physical Address</b>			
<b>a. Street Address:</b>			
<b>b. City:</b>	<b>c. State/Province</b> <i>(as applicable)</i> :	<b>d. Postal Code:</b>	
<b>3. NRTL Headquarters Mailing Address</b> <i>(if different from physical address)</i>			
<b>a. Street Address:</b>			
<b>b. City:</b>	<b>c. State/Province/Country):</b>	<b>d. Postal Code:</b>	
<b>4. NRTL Website Information</b>			
<b>a. Website Address:</b>			
<b>b. Web Address of online certification directory:</b>			
<b>c. Web Address of online certification mark page:</b>			
<b>5. Primary Point of Contact Information</b>			
<b>a. Name:</b>		<b>b. Title/Position:</b>	
<b>c. Telephone Number:</b>		<b>d. Fax Number:</b>	
<b>e. Email Address:</b>			
<b>6. Alternate Point of Contact Information</b>			
<b>a. Name:</b>		<b>b. Title/Position:</b>	
<b>c. Telephone Number:</b>		<b>d. Fax Number:</b>	
<b>e. Email Address:</b>			

**7. Additional Information:**

## Part II: Site Information

<p><b>8.</b> The information shown for each site listed on the OSHA NRTL Program webpage for the NRTL is complete and accurate. (Check only if no changes are needed to OSHA's webpage listing of your sites).</p>	<p><b>a.</b></p>	<input type="checkbox"/>
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**Note:** A list of recognized sites is available at: <http://www.osha.gov/dts/otpc/nrtl/nrtllist.html>

## 9. NRTL Site Information Update

a. Site Name	b. Type Site	c. Physical Address
	<input type="checkbox"/> HQ Site <input type="checkbox"/> Recognized Site	
<input type="checkbox"/> <i>Update listing</i> <input type="checkbox"/> <i>Remove Site</i>		
	<input type="checkbox"/> HQ Site <input type="checkbox"/> Recognized Site	
<input type="checkbox"/> <i>Update listing</i> <input type="checkbox"/> <i>Remove Site</i>		
	<input type="checkbox"/> HQ Site <input type="checkbox"/> Recognized Site	
<input type="checkbox"/> <i>Update listing</i> <input type="checkbox"/> <i>Remove Site</i>		
	<input type="checkbox"/> HQ Site <input type="checkbox"/> Recognized Site	
<input type="checkbox"/> <i>Update listing</i> <input type="checkbox"/> <i>Remove Site</i>		
	<input type="checkbox"/> HQ Site <input type="checkbox"/> Recognized Site	
<input type="checkbox"/> <i>Update listing</i> <input type="checkbox"/> <i>Remove Site</i>		
	<input type="checkbox"/> HQ Site <input type="checkbox"/> Recognized Site	
<input type="checkbox"/> <i>Update listing</i> <input type="checkbox"/> <i>Remove Site</i>		
	<input type="checkbox"/> HQ Site <input type="checkbox"/> Recognized Site	
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	<input type="checkbox"/> HQ Site <input type="checkbox"/> Recognized Site	
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	<input type="checkbox"/> HQ Site <input type="checkbox"/> Recognized Site	
<input type="checkbox"/> <i>Update listing</i> <input type="checkbox"/> <i>Remove Site</i>		
	<input type="checkbox"/> HQ Site <input type="checkbox"/> Recognized Site	
<input type="checkbox"/> <i>Update listing</i> <input type="checkbox"/> <i>Remove Site</i>		
	<input type="checkbox"/> HQ Site <input type="checkbox"/> Recognized Site	
<input type="checkbox"/> <i>Update listing</i> <input type="checkbox"/> <i>Remove Site</i>		
	<input type="checkbox"/> HQ Site <input type="checkbox"/> Recognized Site	
<input type="checkbox"/> <i>Update listing</i> <input type="checkbox"/> <i>Remove Site</i>		
	<input type="checkbox"/> HQ Site <input type="checkbox"/> Recognized Site	
<input type="checkbox"/> <i>Update listing</i> <input type="checkbox"/> <i>Remove Site</i>		



<b>Part III: Verification of NRTL Requirements</b>	
The legal signatory's initials in this part constitute the NRTL's certification of continuing compliance with the NRTL Program requirements contained in 1910.7 and the terms of the NRTL's recognition.	
<b>Part IV: Certification of Information</b>	
<p><b>11.</b> As legal signatory for _____, the applicant, I attest that all statements and information contained in this form are correct to the best of my knowledge and are made in good faith. I also attest that my initials in Part III, "Verification of NRTL Requirements," constitute the applicant's certification of intent to comply / continuing compliance with the NRTL Program requirements contained in 1910.7. In addition, I attest that the applicant will: a) comply with all the policies, conditions, and requirements for recognition that OSHA imposes through its regulations, Directives, and Federal Register notices; b) operate as a NRTL only within the NRTL's approved scope of recognition (applicable test standards and sites), following the policies, procedures, structures, and practices described in the NRTL's original or amended application accepted by OSHA, or in appropriate and approved revisions made after recognition; and c) promptly submit details to OSHA of any major changes in the NRTL's operations.</p>	
<b>12. Legal Signatory</b> <i>(type or print name):</i>	
<b>13. Signature:</b>	<b>14. Date:</b>

<b>Paperwork Reduction Act Statement</b>	<b>OMB Control Number: 1218-0147</b>
<p>According to the Paperwork Reduction Act of 1995, no person is required to respond to a collection of information unless such collection displays a valid OMB control number. Public reporting burden for this collection of information is estimated to average 5 hours per response. This burden includes locating and assembling information required to complete the renewal or certification, and completing the renewal / certification form. The obligation to respond to this collection is voluntary. Information obtained from this form will be used to determine if renewal of recognition will be granted to the applicant. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to: U.S. Department of Labor, OSHA, Office of Technical Programs and Coordination Activities, Directorate of Technical Support and Emergency Management, 200 Constitution Avenue, NW, Room N3655, Washington, DC 20210.</p>	
<b>Form Completion Directions</b>	
<b>General Guidance</b>	
<p>OSHA's recognition of a Nationally Recognized Testing Laboratory (NRTL) is valid for five years unless OSHA terminates recognition before the expiration of the five-year period. <b>A recognized NRTL may renew its recognition by filing a renewal request not less than nine months or more than one year before the expiration of its current recognition.</b> Each NRTL may apply for a continuation of its recognition status by following the procedures in 29 CFR 1910.7, App. A.II.C. This form serves a Renewal Request and as a Certification of Continued Compliance with NRTL Program requirements. The form asks the NRTL to verify its general information as well as verify its compliance with NRTL Program requirements. Completing this form is entirely voluntary. Each NRTL is free to apply for renewal or certify continued compliance with the terms of its recognition and 29 CFR 1910.7 in any form it chooses. However, OSHA will consider a renewal request or certification that does not contain the information requested in this form to be deficient and may delay or deny the renewal.</p> <p>A NRTL that chooses to use this form for a renewal request or to certify its continued compliance with the terms of its recognition and 29 CFR 1910.7 must send: (1) this completed form; (2) any additional information it wishes to submit to demonstrate its compliance with the terms of its recognition and 29 CFR 1910.7; and (3) payment to:</p> <p style="padding-left: 40px;">Director Office of Technical Programs and Coordination Activities Directorate of Technical Support and Emergency Management Occupational Safety and Health Administration US Department of Labor 200 Constitution Avenue NW, Room N3655 Washington, DC 20210 USA</p> <p>Completed and signed forms and any accompanying documentation may also be scanned and emailed to <a href="mailto:nrtlprogram@dol.gov">nrtlprogram@dol.gov</a>. For questions, contact Office of Technical Programs and Coordination Activities at +1.202.693.2110.</p>	

## Part I Directions

Part I of this form provides basic information related to the NRTL. The information will be used to update NRTL records and information posted on OSHA's NRTL webpage. Complete each block as indicated below.

- Block 1:** Enter the legal business name of the NRTL as currently recognized by OSHA. **Note:** If the NRTL wishes to use a name that is different from the name listed on OSHA's NRTL web page (see <http://www.osha.gov/dts/otpc/nrtl/nrtllist.html>), the NRTL must submit a request for name change to OSHA's NRTL Program office using the contact information listed above.
- Block 2:** Enter the physical street address, city, state, and postal code for the headquarters office of the NRTL. For international addresses, enter the province followed by the country name in **Block 1c**.
- Block 3:** Enter the mailing address, city, state, and postal code for the headquarters office of the NRTL (if different from the information in Block 2). For international addresses, enter the province followed by the country name in **Block 2c**.
- Block 4:** **Block 4a.** Enter the URL for the NRTL's webpage.
- Block 4b.** Enter the URL for the NRTL's online product certification listing. Note: if the NRTL does not have a resource online, include a URL to a webpage that provides directions as to how a product certification may be obtained.
- Block 4c.** Enter the URL to the webpage or online resource that explains the usage of the NRTL's certification mark as it applies to OSHA's NRTL Program.
- Block 5:** Enter contact information of the NRTL's primary point of contact. Include their name, title, telephone number, fax number, and email address.
- Block 6:** Enter contact information of the NRTL's alternate point of contact. Include their name, title, telephone number, fax number, and email address.
- Block 7:** Enter any additional information the NRTL would like to include with the application for renewal. Additionally, provide a description of any enclosures to the renewal application that the NRTL has included with their request.

## Part II Directions

Please verify that the site name and address for all recognized sites identified on the OSHA NRTL website are accurate. If no changes are necessary, please check the box indicating that you reviewed this information on the OSHA NRTL website, and that it is complete and accurate. If changes are necessary, please update the information as outlined below. Use additional pages as required.

- Block 8:** Review the listing that OSHA has for your recognized NRTL sites using the web addresses listed in **Block 8**. If the listing is correct and complete, place a check in **Block 8a** and proceed to **Block 10**. If additions or corrections are required, proceed to **Block 9**.
- Block 9:** Update information for each site that is not listed, sites where information listed on OSHA's NRTL site webpage is incorrect, or sites that need to be removed.
- Note:** The purpose of this section of the form is to update information related to previously recognized sites. Do not use this form to add new sites that have not previously been recognized. To have new sites considered for formal recognition, submit an expansion application in accordance with Appendix II B. of 29 CFR 1910.7.

**Block 9a.** Enter the name of the site as the NRTL wishes it to be displayed. Place a check next to *Update Listing* or *Remove Site* as applicable.

**Block 9** **Block 9b.** Place a check next to the box that is most appropriate site type for the site being added  
(continued): or updated.

**Block 9c.** Enter the complete physical address for the site being added or updated. Be sure to include the name of the country for international sites.

#### **Part IV Directions**

Part IV is the NRTL certification that it will continue to comply with the requirements of the NRTL Program as outlined in 29 CFR 1910.7, its letter of recognition, and supporting NRTL Program Directive and guidelines. The blocks in Part IV must be completed by the legal signatory for the NRTL.

**Block 11:** Enter the legal business name of the NRTL as currently recognized by OSHA. See note in **Block 1** for additional information related to a name change for the NRTL.

**Block 12:** Print or type the name of the individual having legal signatory authority for the NRTL.

**Block 13:** Enter the signature of the individual having legal signatory authority for the NRTL

**Block 14:** Enter the date the individual with legal signatory authority signed this document.