

Example: ANNEX 1A

Standards of the current accepted scope selected for this Re-assessment - NCB

Product Category	NCB : LAMBDA	Number Certificates Issued during the last two years (by the NCB)	Assessment Team acceptance		CBTL OMEGA	CBTL ALFA	CBTL BETA	CBTL GAMMA
			Yes	No				
The Assessment team completes this section. Lists the corresponding Product Category for each standard selected for this assessment	The Assessment Team completes this section with the standards selected for this re-assessment. Lists the standards in the NCB scope including the editions and amendments	The NCB should provide this information during the Assessment. Certificates issued can also include projects based on the equivalent National Standard.	The Assessment Team completes this section based upon the on-site assessment. Where insufficient experience is demonstrated the "No" box shall be checked. The NCB can provide a claim of capability to the IECEE Secretariat to keep this standard in the scope of acceptance		The Assessment Team while assessing the selected Certificate and associated Test Report should complete this section accordingly: name of the laboratory and tick the box. A checked box(es) indicates that the standard is operated by the relevant associated CBTL(s) for the assessed test report. The number of columns here depends upon the number of CBTLs that the specific NCB operates for one or more standards.			
EXAMPLES :								
Product Category	NCB : LAMBDA	Number Certificates Issued during the last two years (by the NCB)	Assessment Team acceptance		CBTL OMEGA	CBTL ALFA	CBTL BETA	CBTL GAMMA
			Yes	No				
HOUS	60335-2-4(ed.4);am1;am2,	0	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
HOUS	60335-2-21(ed.3);am1-am3,	6	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
HOUS	60335-2-60(ed.3)	5	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
HOUS	60335-2-102(ed.1),	1	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
INST	60614-2-7(ed.1),	1	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
INST	60998-2-1(ed.1),	0	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
INST	61058-2-5(ed.1),	0	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
TRON	60065(ed.7);am1,	40	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

**Example: Assessment Scope - NCB
ANNEX 1B**

To be completed by the Assessed Organisation for Scope extension/Initial Application

Product Category	NCB : LAMBDA	Number Certificates Issued during the last two years (by the NCB)	Assessment Team acceptance		CBTL OMEGA	CBTL ALFA	CBTL BETA	CBTL GAMMA
			Yes	No				
NCB completes. Lists the corresponding Product Category for each standard	NCB completes Lists the standards requested for assessment	NCB completes. Certificates issued on the equivalent National Standard can also be included in this number	The Assessment Team completes this section based upon the on-site assessment. Where insufficient experience is demonstrated the "No" box will be checked, the NCB can provide a claim of capability to keep this standard in the scope of acceptance		NCB completes The checked box indicates that this CBTL operates the corresponding standard. This provides the overall picture of which CBTL(s) operate the specific standard under the NCB. The number of columns here depends upon the number of CBTLs that the specific NCB operates you can delete/add columns for CBTLs as necessary			
EXAMPLE								
MED	60601-2-10, 1st ed (1987)	5	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
MED	60601-2-11, 2nd ed (1997)	9	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
MED	60601-2-12, 1st ed (1988)	6	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
MED	60601-2-13, 1st ed (1989)	4	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
MED	60601-2-14, 1st ed (1989)	3	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

Example Annex 1B OD-CB2004

NCB OMEGA wishes to request a scope extension which will be operated with CBTL BETA (please note, CBTL BETA will also have to complete the CBTL Annex 1B)

PRODUCT CATEGORY	NCB OMEGA	No Certificates Issued during the last two years (by the NCB)	ASSESSMENT TEAM ACCEPTANCE		CBTL ALPHA	CBTL BETA
			YES	NO		
HOUS	IEC 60335-2-7(ed.6)		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

The assessment team acceptance section is the only part the Lead Assessor completes

The request for CBTL BETA's scope extension listed here (in addition to in OD-CB2005)

The NCB makes a request for edition 6, as completed by the NCB

No scope extension is requested for this edition for CBTL ALPHA



“INDEPENDENCE AND IMPARTIALITY” INCLUDING “COMMERCIAL CONSULTANCY”

This Annex to the OD CB 2004 (Annex 4) is to be used for Initial Assessment only (NCB).

1.1 GENERAL OPERATING PROCEDURE

Does the Body have a documented procedure for independence and impartiality that as a minimum includes the following while carrying out conformity assessment activities ?:

- a) to be objective
- b) to identify, avoid, mitigate and manage conflicts of interest, and
- c) to ensure independence, so as to increase the amount of trust, confidence and value that those activities have in the market place

YES NO

Document Title:

Document Number:

1.2 REFERENCE DOCUMENT

Does the Body have access to ISO/IEC Guide 65:1996 and in particular Sub-clause 4.2, “Organization?” YES NO

Does the Body have access to ISO/IEC 17025:2005 and in particular Sub-clause 4.1.4 (including Note 2, 4.1.5 B) and 4.1.5 d) ? YES NO



1.3 KNOWLEDGE, TRAINING AND DECISION MAKING

Does the Body's staff have knowledge of the basic concepts of independence and impartiality? YES NO

Were the training records of the Body's staff checked ? YES NO

Does the Body's selected staff have sufficient knowledge in the principles of independence and impartiality to provide initial training and retraining to other staff?
YES NO

Names of person(s):

Were examples of training programs of the Body's staff reviewed and found to be sufficient? YES NO

Does the Body's staff select and make pass/fail decisions taking the principles of independence and impartiality into account? YES NO

Are the Body's decisions based on objective evidence of conformity (or nonconformity) obtained by the Body's staff? YES NO

Are the Body's decisions influenced by other interests or parties? YES NO

1.4 DOCUMENTATION AND IMPLEMENTATION

Does the Body have documented and implemented (on an on-going basis) sufficient procedures to ensure the independence and impartiality of all staff? YES NO

Does the Body have documented and implemented (on an on-going basis) sufficient procedures to ensure that the remuneration of staff is free from pressures and inducements and is not dependent on the number, outcome of the result of their activities? YES NO

(NOTE: It is recognized that the source of revenue of the Body is its customers paying for its services and that this is a potential threat to independence and impartiality.)

Does the Body have documented sufficient procedures for the identification, review, resolution and prevention of conflict of interest (including "commercial consultancy") where conflicts of interest are suspected or proven (including subcontracted personnel) and does the Body keep records of such reviews and decisions? YES NO

1.5 MARKETING AND ADVERTISING MATERIALS

Do the Body's marketing materials give the impression that "commercial consultancy" activities are offered? YES NO

If Yes, Please detail:

Is the Body linked to an organization that provides "commercial" consultancy services? YES NO



Is there a documented policy/procedure to ensure that there is an effective separation between all conformity assessment activities and consultancy services?

YES NO N/A

Do the Body's certification staff participate in "commercial consultancy"? YES NO

1.6 STAFF DECLARATIONS

Does the Body require all staff acting on its behalf to declare any potential conflict of interest? YES NO

1.7 COMPLIANCE

Does the Body comply with all the above independence and impartiality principles on an ongoing basis? YES NO

Note: If the answer is NO a Non-Conformity Report must be issued