CTF - Customers' Testing Facility

CTF Assessment Report
(CTF Stages 3 and 4)
(Based on ISO/IEC 17025:2017)

<Report number>

CTF name
CTF address, country

Date of assessment: yyyy-mm-dd
1. Assessment details

1.1 Type of Assessment

<table>
<thead>
<tr>
<th>Type of Assessment</th>
<th>IA</th>
<th>AA</th>
</tr>
</thead>
<tbody>
<tr>
<td>Initial Assessment (IA)</td>
<td></td>
<td></td>
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<tr>
<td>Annual Assessment (AA)</td>
<td></td>
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<tr>
<td>Scope Extension (SE)</td>
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<tr>
<td>Follow-up Assessment (FA)</td>
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<tr>
<td>Re-Location Assessment (RLA)</td>
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<tr>
<td>Re-Assessment (RA)</td>
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</tr>
</tbody>
</table>

1.2 Scope covered by the assessment

Refer to Annex 1A/B for a complete list of the assessment scope

1.3 Previous Assessment Reports – Report No. and Date

1.4 CTF Stage

Select the applicable stage(s)

- [ ] Stage 3
- [ ] Stage 4

1.5 CTF Contact Information

<table>
<thead>
<tr>
<th>Contact Person</th>
<th>Telephone</th>
<th>Mobile</th>
<th>Fax</th>
<th>Email</th>
</tr>
</thead>
</table>

1.6 Assessment Team

Determine the applicable Position (Assessor, Technical Expert or Trainee) and delete the other position names

<table>
<thead>
<tr>
<th>Position</th>
<th>Lead Assessor</th>
<th>Assessor / Technical Expert / Trainee</th>
<th>Assessor / Technical Expert / Trainee</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name</td>
<td></td>
<td></td>
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<tr>
<td>Title and Organization</td>
<td></td>
<td></td>
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</tbody>
</table>
### 1.7 Assessment Base

<table>
<thead>
<tr>
<th>Document</th>
</tr>
</thead>
<tbody>
<tr>
<td>IEC CA 01 – IEC Conformity Assessment Systems – Basic Rules</td>
</tr>
<tr>
<td>IEC 02 – Rules of Procedure</td>
</tr>
<tr>
<td>IECEE 02-3 – IECEE Particular Rules of Procedure - Peer Assessment Programme</td>
</tr>
<tr>
<td>ISO/IEC 17025:2017 - Option A</td>
</tr>
<tr>
<td>OD-2006 – Guidelines and Information for IECEE Assessments</td>
</tr>
<tr>
<td>OD-2048 – Utilization of Customers’ Testing Facilities (CTFs)</td>
</tr>
<tr>
<td>OD-2034 – Operation of a Local Technical Representative (LTR) for the IECEE CTF Program (applicable in case the assessment is conducted by an LTR or the CTF is used by an LTR)</td>
</tr>
</tbody>
</table>

The above assessment base documents are to be the latest published editions, unless a specific edition is indicated.

### 2. Organization

#### 2.1 NCB and Manufacturer/Applicant undertaking the responsibility for the CTF

(One assessment report per NCB)

<table>
<thead>
<tr>
<th>Responsible NCB:</th>
<th>Responsible Manufacturer/Applicant:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Address:</td>
<td>Address:</td>
</tr>
</tbody>
</table>

#### 2.2 Responsible persons present during the assessment of the CTF

(Other than the assessment team)

<table>
<thead>
<tr>
<th>Responsible NCB*</th>
<th>Name:</th>
<th>Name of Manufacturer/Applicant representative:</th>
</tr>
</thead>
<tbody>
<tr>
<td>CBTL requested by the resp. NCB*</td>
<td>Name:</td>
<td>Name of CTF representative:</td>
</tr>
<tr>
<td>Address:</td>
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</tbody>
</table>

*Whenever applicable

#### 2.3 Brief history of the CTF

Include information about the legal status of the CTF and ownership (see ISO/IEC 17025:2017, clause 5.1 and OD-2048, clause 4.1.1)

Complete this section for Initial Assessment and for other Assessments complete only with updates since the last assessment.
2.4 Organization of the CTF (refer to Annex 2 Organization Chart(s))

The testing laboratory is owned by Manufacturer/Customer

☐ Yes  ☐ No

If "No", explain how continued compliance of the CTF with the relevant requirements of ISO/IEC 17025:2017 and OD-2048, clause 4.1.2 is maintained.

3. Personnel Structure

3.1 Employees

Number of people working in the overall CTF testing area:

Number of people involved with the **product** testing activity of the CTF within the scope of this assessment

3.2 CTF Managers responsible for Testing Facility

<table>
<thead>
<tr>
<th>Name</th>
<th>Position (title) and field of expertise</th>
<th>Years of relevant experience</th>
<th>Experience checked and appropriate</th>
<th>To whom do they report?</th>
</tr>
</thead>
<tbody>
<tr>
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<td>Yes</td>
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</tbody>
</table>

3.3 Principal CTF staff involved in testing

<table>
<thead>
<tr>
<th>Name</th>
<th>Position (title) and field of expertise</th>
<th>Years of relevant experience</th>
<th>Experience checked and appropriate</th>
<th>To whom do they report?</th>
</tr>
</thead>
<tbody>
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<td>Yes</td>
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3.4 CTF staff involved in the Management System and Calibration activities

*Add details of the CTF staff that is in charge of calibration activities, such as "call for calibration", equipment maintenance, etc.*

<table>
<thead>
<tr>
<th>Name</th>
<th>Position (title) and field of expertise</th>
<th>Years of relevant experience</th>
<th>Experience checked and appropriate</th>
<th>To whom do they report?</th>
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### 3.5 Assessment of the CTF staff competence

Briefly describe how the staff competence was assessed e.g. interview, CV check, demonstration of technical decisions, knowledge of the standard, reviewing of Calibration records and Test Reports, etc.

### 4. CTF Testing premises

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<tbody>
<tr>
<td>Total CTF testing laboratory area</td>
<td></td>
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<tr>
<td>Total CTF testing area in the scope of the assessment</td>
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<tr>
<td>Is the power distribution system sufficient/appropriate in the scope of recognition?</td>
<td>Yes</td>
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</table>

**Annex 5** CTF Power Supply Capabilities to be completed and attached.

### 5. Management System, Technical and IECEE Requirements

#### 5.1 Management System

<table>
<thead>
<tr>
<th></th>
<th>Yes</th>
<th>No</th>
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<tbody>
<tr>
<td>Is the CTF Accredited by a reputable Accreditation Body? (if available, append the Accreditation Certificate as Annex 3 &quot;Accreditation Certificate(s) relevant to the CB-Scheme&quot;)</td>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td>If the CTF is accredited, check the scope covered by the accreditation. If the CTF is not accredited or if the CTF does not make the accreditation scope available, the management system of the CTF shall be examined in detail.</td>
<td></td>
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<tr>
<td>The accreditation covers the standards covered by this assessment</td>
<td>Yes</td>
<td>No</td>
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</table>

**Structure of the Management System**

Brief description

**The following elements are in compliance with the referenced ISO/IEC 17025 clauses:**

**Document control** (Cl. 8.3)

<table>
<thead>
<tr>
<th>Reviewed evidence:</th>
<th>Yes</th>
<th>No</th>
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</thead>
</table>

**Review of requests, tenders and contracts** (Cl.7.1)

<table>
<thead>
<tr>
<th>Reviewed evidence:</th>
<th>Yes</th>
<th>No</th>
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</table>
### Subcontracting of tests

CFTs are not permitted to subcontract testing.

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<tr>
<th>Yes</th>
<th>No</th>
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</table>

### Purchasing services and supplies – Externally provided products and services (Cl. 6.6)

- **Yes**
- **No**

Reviewed evidence:

- Identify applicable procedures. Procedure name and/or titles can be provided as evidence.
- Verify all applicable consumables such as cheesecloth, tissue paper, thermocouple wire and glue, solvents, etc.
- Verify records, such as purchase orders or receipts.

### Control of records (Cl. 8.4)

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<th>No</th>
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</table>

Reviewed evidence:

### Complaints (Cl. 7.9)

(verify complaint resolution procedures related to laboratory operations)

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<tr>
<th>Yes</th>
<th>No</th>
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Reviewed evidence:

### Nonconforming work (Cl. 7.10)

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<thead>
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<th>Yes</th>
<th>No</th>
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Reviewed evidence:

### Improvement (Cl. 7.7.3)

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<th>Yes</th>
<th>No</th>
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Reviewed evidence:

### Corrective action (Cl. 8.7)

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<th>Yes</th>
<th>No</th>
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Reviewed evidence:

### Preventive action – Actions to address risks and opportunities (Cl. 8.5)

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<th>Yes</th>
<th>No</th>
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Reviewed evidence:

### Internal audits (Cl. 8.8)

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<th>Yes</th>
<th>No</th>
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</table>

Reviewed evidence:

### Management reviews (Cl. 8.9)

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
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</table>

Reviewed evidence:
5.2 Technical Requirements

The following elements are in compliance with the referenced ISO/IEC 17025 clauses:
Describe whether procedures for sample handling, component acceptance, performance of critical tests,, calibration of equipment, measurement accuracy/uncertainty, training and other relevant items from ISO/IEC 17025:2017 are available and appropriate.

<table>
<thead>
<tr>
<th>Personnel (Cl. 6.2)</th>
<th>Yes</th>
<th>No</th>
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<tbody>
<tr>
<td>Reviewed evidence:</td>
<td></td>
<td></td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Accommodation and environmental conditions (Cl. 6.3)</th>
<th>Yes</th>
<th>No</th>
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</thead>
<tbody>
<tr>
<td>(See also Annex 5 CTF Power Supply Capabilities)</td>
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<tr>
<td>Reviewed evidence:</td>
<td></td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Test methods and validation of methods (Cl. 7.2)</th>
<th>Yes</th>
<th>No</th>
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<tbody>
<tr>
<td>Reviewed evidence:</td>
<td></td>
<td></td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Equipment (Cl. 6.4)</th>
<th>Yes</th>
<th>No</th>
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<tbody>
<tr>
<td>E.g. attach CTF’s equipment list, relevant to its scope, with sufficient information about calibration dates and periods</td>
<td></td>
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<tr>
<td>Reviewed evidence:</td>
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</table>

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<thead>
<tr>
<th>Measurement traceability (Cl. 6.5)</th>
<th>Yes</th>
<th>No</th>
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<tbody>
<tr>
<td>(See also Annex 4 Application of Measurement Uncertainty concepts)</td>
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<tr>
<td>Reviewed evidence:</td>
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<thead>
<tr>
<th>Sampling (Cl. 7.3)</th>
<th>Yes</th>
<th>No</th>
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<tbody>
<tr>
<td>Reviewed evidence:</td>
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</table>

<table>
<thead>
<tr>
<th>Handling of test items (Cl. 7.4)</th>
<th>Yes</th>
<th>No</th>
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<tbody>
<tr>
<td>Reviewed evidence:</td>
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</table>

<table>
<thead>
<tr>
<th>Assuring the quality of results (Cl. 7.7.1)</th>
<th>Yes</th>
<th>No</th>
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<tbody>
<tr>
<td>Reviewed evidence:</td>
<td></td>
<td></td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Reporting the results (Cl. 7.8) (See also OD-2020)</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>Reviewed evidence:</td>
<td></td>
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</table>
5.3 IECEE Requirements for CTF Stages 3 and 4

The following elements are included in the CTF's procedures as appropriate for a CTF and implemented in practice:

<table>
<thead>
<tr>
<th></th>
<th>Yes</th>
<th>No</th>
<th>Reviewed evidence:</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>IECEE Rules of Procedure &amp; Guidance</strong></td>
<td></td>
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<tr>
<td><strong>IECEE Operational Documents</strong></td>
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<tr>
<td><strong>CTL Decisions</strong></td>
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<tr>
<td><strong>Use of appropriate IEC Standards</strong></td>
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<tr>
<td><strong>IECEE current decisions (CMC, PAC, PSC)</strong></td>
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</tbody>
</table>

5.4 IECEE Requirements for Live Stream Video (LSV) (CTF Stages 3 and 4)

<table>
<thead>
<tr>
<th></th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Does the CTF operate LSV ?</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>(if &quot;No&quot; then the questions below can be skipped)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Does the CTF have an adequate procedure for the operation of LSV ?</td>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td>Reviewed evidence:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Is the used Video equipment suitable and validated for the purpose of LSV witnessing ?</td>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td>Date of demonstration:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Does the CTF assume responsibility for all risks related to the transmission of LSV ?</td>
<td>Yes</td>
<td>No</td>
</tr>
</tbody>
</table>
6. Proficiency Testing Programmes (Compulsory for CTF Stages 3 & 4)

Indicate the laboratory's participation in any comparative testing programs and for new laboratories, laboratories seeking scope extension, readiness for taking part in the IECEE CTL PTP. Indicate willingness to participation in CTL meetings for IECEE Schemes. Also mention any relevant information about the staff participation in standards activities.

7. Number of Non-Conformity Reports (NCR) issued

<table>
<thead>
<tr>
<th>Number of NCRs appended</th>
</tr>
</thead>
</table>

8. Recommendation of the Assessment Team

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

Standard Recommendations: (Please check the appropriate recommendation)

| 1. The Assessment Team recommends acceptance of the assessed CTF for the scope(s) as reported in Annex 1A | □ |
| Current accepted scope of CTF of this Assessment Report |

| 2. The Assessment Team recommends acceptance of the assessed CTF for the scope(s) as reported in Annex 1A | □ |
| Current accepted scope of CTF of this Assessment Report subject to clearance of the outstanding Non-Conformity Reports |

| 3. The Assessment Team recommends that the acceptance of the assessed CTF is postponed until a further follow-up assessment is carried out and is found satisfactory. | □ |

9. Additional Information
10. Signatures of the Assessment Team

Choose the applicable Position (Assessor, Technical Expert or Trainee) and delete the other position names

<table>
<thead>
<tr>
<th>Date: yyyy-mm-dd</th>
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<tbody>
<tr>
<td></td>
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<tr>
<td>Lead Assessor</td>
</tr>
<tr>
<td></td>
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<tr>
<td>Printed name</td>
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</tbody>
</table>

11. Acknowledgement by the assessed CTF and Customer

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

<table>
<thead>
<tr>
<th>CTF Representative</th>
<th>Manufacturer/Customer Representative</th>
</tr>
</thead>
<tbody>
<tr>
<td>Signature</td>
<td>Signature</td>
</tr>
<tr>
<td>Printed name and title</td>
<td>Printed name and title</td>
</tr>
</tbody>
</table>
## Annex 1A  Current accepted scope of CTF

Provide specific exclusion(s) or applicable clause(s), whichever is more practical. Witnessing by LSV applies to CTF Stages 3 and 4. A checked box means "Yes".

<table>
<thead>
<tr>
<th>Standard</th>
<th>Details (see notes below)</th>
<th>Accepted for witnessing by LSV? (see Note 2)</th>
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Note 1: For clarity and consistency, use the following terms in the Details column:
- "All clauses" – where the CTF is accepted for all tests under a standard, or
- "All clauses except …" (list the exceptions), or
- "Accepted clauses..." (list the accepted clauses)

Note 2:
LSV: Live Stream Video
Clauses that have been assessed and accepted for witnessing by Life Stream Video shall be specifically listed.
# Annex 1B  Initial / Scope Extension Assessment Scope

Provide specific exclusion(s) or applicable clause(s), whichever is more practical. Witnessing by LSV applies to CTF Stages 3 and 4. A checked box means "Yes".

<table>
<thead>
<tr>
<th>Standard</th>
<th>Details (see notes below)</th>
<th>Accepted for witnessing by LSV? (see Note 2)</th>
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Note 1: For clarity and consistency, use the following terms in the "Details" column:

“All clauses” – where the CTF is accepted for all tests under a standard, or

“All clauses except…” (list the exceptions), or

“Accepted clauses…” (list the accepted clauses)

Note 2:

LSV: Live Stream Video

Clauses that have been assessed and accepted for witnessing by Life Stream Video shall be specifically listed.
Annex 2  Organization Chart(s)

Annex 3  Accreditation Certificate(s) relevant to the CB-Scheme
### Annex 4 Application of Measurement Uncertainty concepts

#### 1. Laboratory procedure for application of Measurement Uncertainty

Does the CTF have a documented operating procedure on application of uncertainty of measurement?  

<table>
<thead>
<tr>
<th></th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>Document Number:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Document Title:</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

#### 2. Measurement Uncertainty references in the CTF

<table>
<thead>
<tr>
<th></th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>Does the CTF have access to the GUIDE 98-3 &quot;Guide to the Expression of Uncertainty in Measurement&quot;?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Does the CTF have access to the IEC Guide 115, “Application of Uncertainty of Measurement to Conformity Assessment Activities in the Electrotechnical Sector”?</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

#### 3. Competency of CTF Staff in Measurement Uncertainty concepts

<table>
<thead>
<tr>
<th></th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>Do all the laboratory staff have knowledge of the basic concepts of uncertainty of measurement?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Can the laboratory staff select instrumentation and make pass/fail decisions taking measurement uncertainty into account?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Are selected laboratory staff sufficiently expert in uncertainty of measurement to calculate measurement uncertainties associated with test equipment and testing performed?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Names of persons:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Were the training records of the select laboratory staff checked?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Were examples of uncertainty of measurement calculations for actual tests performed in the laboratory by the select laboratory staff reviewed and found to be acceptable?</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
*These examples must be different from those reviewed during previous assessments, and should be representative of the scope, e.g. electrical, mechanical, performance, etc.*

Subject Example 1:

Subject Example 2:

Subject Example 3:

#### 4. Laboratory/Facilities compliance with the Measurement Uncertainty requirements

Does the CTF comply with all the above Measurement Uncertainty Requirements? (if No, NCR to be issued)  

<table>
<thead>
<tr>
<th></th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
</table>

---

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## Annex 5  CTF Power Supply Capabilities

### 1. Electrical Power Distribution System for Testing

Is the electrical power distribution system appropriate for the scope of recognition according to ISO/IEC 17025:2017, sub-clause 6.3?

<table>
<thead>
<tr>
<th></th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
</table>

### 2. Electrical Power Supply Stability

When not otherwise specified in the testing standard, laboratory power sources used for testing meet the following criteria, at the point where testing is performed under both loaded and no-load conditions, according to OD-5010:

- **Voltage stability:** +/- 3 percent maximum
- **Frequency stability:** +/- 2 percent maximum
- **Total harmonic distortion:** 5 percent maximum

The laboratory power supplies meet additional specific criteria required by the test standard?

<table>
<thead>
<tr>
<th></th>
<th>Yes</th>
<th>No</th>
<th>N/A</th>
</tr>
</thead>
</table>

IEC Standard numbers/titles and clauses:

Comments about the laboratory’s power distribution system including its capacity and stability for testing equipment within the scope of this assessment

### 3. Electrical Power Supply Monitoring

The laboratory/facilities has/have an operating procedure to monitor, control and record characteristics of the laboratory/facilities power supplies used for testing to ensure continued conformance with the requirements.

<table>
<thead>
<tr>
<th></th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
</table>

The laboratory’s/facilities’ operating procedure requires the laboratory power supply characteristics to be checked upon initial installation, modification and repair, and periodically thereafter

<table>
<thead>
<tr>
<th></th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
</table>

The laboratory’s/facilities’ operating procedures require monitoring of critical characteristics specified by the test standard (e.g. voltage) throughout the performance of the test.

<table>
<thead>
<tr>
<th></th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
</table>
Annex 6  Testing Laboratory Risk Management Review Capabilities

(These requirements apply to assessment of the capability of Testing Laboratories to apply Risk Management requirements of ISO 14971 and document the objective evidence of conformity required by the Standard.)

Removal of Annex content:
In cases where the Annex isn’t applicable (N/A), the body may be deleted leaving the Annex header and indicating “N/A”

<table>
<thead>
<tr>
<th>1.1 Laboratory procedure for Risk Management</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>Does the CTF have a documented operating procedure on application of risk management?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Document title:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Document number:</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>1.2 Risk Management References in the Laboratory</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>Does the CTF use the current methodology of IECEE OD-2044?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Does the CTF apply the relevant edition of ISO 14971 in requesting objective evidence for compliance with this standard?</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>1.3 Competency of Laboratory Staff in Risk Management Concepts</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>Were the training records, CVs and other risk management qualifications of the select laboratory staff checked?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Do the laboratory personnel involved in risk management evaluations have knowledge of the risk management requirements in ISO 14971?</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

| Principal Staff Involved In Risk Management Evaluation | |
|--------------------------------------------------------|-----|----|
| Name | Position (Title) and Field of Expertise | Years Relevant Experience | Experience Checked & Appropriate Experience |
| | | | Yes | No |
| | | | | |
| | | | | |
| Can the Laboratory staff select appropriate risk management file information and make pass/fail decisions taking risk management concept into account? |     |    |
| Do the reviewed Test Reports show objective evidence of compliance demonstrated by comments and specific references to manufacturer’s Risk Management documents? |     |    |

<table>
<thead>
<tr>
<th>1.4 Laboratory compliance with the Risk Management requirements</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>Does the Body comply with all the above Risk Management Requirements?</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

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## Use of internal calibration laboratories

### 0. Internal Calibration Laboratory

<table>
<thead>
<tr>
<th>Question</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>Does the laboratory perform internal calibration?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>If “No”, there is no need to complete this Annex any further and the rest of this Annex should be removed.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Is the internal calibration laboratory accredited for calibration?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>If “No”, you must complete this Annex.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Is the scope of accreditation for calibration equal to or greater than the scope of internal calibrations performed?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>If “Yes”, there is no need to complete this Annex any further and the rest of this Annex should be removed.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### 1. Scope of calibrations performed by the internal calibration laboratory

List the scope of calibrations performed by this calibration laboratory (parameters/quantity only), e.g. length, temperature, etc.

<table>
<thead>
<tr>
<th>Description</th>
<th>Equipment Identification (i.e. Asset Number)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
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<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### 2. Dedicated calibration standards

<table>
<thead>
<tr>
<th>Question</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>Does the calibration laboratory have controlled calibration methods, i.e. procedures, for each item of test equipment which is internally calibrated?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Does the laboratory have documented procedure for the validation of the internal calibration methods?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Does the laboratory have a documented operating procedure for the calibration and maintenance of equipment used for calibration?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Document title:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Document number:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Does the laboratory have a dedicated and secure storage location for the calibration standards and related equipment.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### 3. Uncertainty of measurement in calibration

<table>
<thead>
<tr>
<th>Question</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>Does the laboratory have access to and working knowledge of the ISO/IEC Guide 98-3, Guide to the Expression of Uncertainty in Measurement?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Do internal calibration certificates/reports fulfill the requirements of ISO IEC 17025?</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Do internal calibration certificates/reports include the measurement results and the measurement uncertainty statements for the calibrations? □ □

4. Assurance of quality of internal calibrations

<table>
<thead>
<tr>
<th>Question</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>Does the laboratory have participation in proficiency or comparison testing related to calibration? (Informative)</td>
<td>□</td>
<td></td>
</tr>
<tr>
<td>Has the laboratory established a traceability chain for equipment calibrated internally?</td>
<td>□</td>
<td></td>
</tr>
</tbody>
</table>

5. Control of internally calibrated equipment?

<table>
<thead>
<tr>
<th>Question</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>Does the internal calibration laboratory have a procedure to distinguish internally calibrated test equipment from other test equipment?</td>
<td>□</td>
<td></td>
</tr>
</tbody>
</table>

6. Laboratory compliance with IECEE requirements for internal calibration

<table>
<thead>
<tr>
<th>Question</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>Does the internal calibration laboratory undergo annual audits by a qualified auditor or a metrologist (refer to OD 5011, clause 8.1)?</td>
<td>□</td>
<td></td>
</tr>
</tbody>
</table>

7. Competency of Laboratory Staff performing calibration activities

<table>
<thead>
<tr>
<th>Name</th>
<th>Position (title) and field of expertise</th>
<th>Years of relevant experience</th>
<th>Experience checked &amp; appropriate</th>
<th>To whom do they report?</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>□</td>
<td>□</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>□</td>
<td>□</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>□</td>
<td>□</td>
</tr>
</tbody>
</table>

8. Calibration activities witnessed


9. Calibration certificates/reports reviewed


## Non-Conformity Reports

<table>
<thead>
<tr>
<th>Non-conformity Report No</th>
<th>Date</th>
<th>YYYY-MM-DD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Standard(s) concerned</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Clause / Sub-clause of non-conformity</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Non-conformity description</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Lead Assessor</th>
<th>Management Representative</th>
</tr>
</thead>
<tbody>
<tr>
<td>Signature and printed name</td>
<td>Signature, printed name and title</td>
</tr>
</tbody>
</table>

| Root Cause of non-conformity | |
|-----------------------------| |

| Proposed Corrective Action(s) | |
|------------------------------| |

<table>
<thead>
<tr>
<th>Implementation date</th>
<th>Management representative</th>
</tr>
</thead>
<tbody>
<tr>
<td>YYYY-MM-DD</td>
<td>Signature, printed name, title and date</td>
</tr>
</tbody>
</table>

| Proposed Corrective Action(s) acceptance | |
|-----------------------------------------| |
| Acceptance, no further verification required | |
| Acceptance, further verification of implementation is required, without on-site follow-up assessment | |
| Acceptance, further verification of implementation is required, with on-site follow-up assessment | |

| Lead Assessor signature, printed name and date | |

| Implementation verified and final clearance provided by Lead Assessor | |
|-------------------------------------------------------------------| |
| Lead Assessor signature, printed name and date | |

Note to the next assessment team, if any: