

# NFPA® 790

## Standard for Competency of Third-Party Field Evaluation Bodies

### 2014 Edition



NFPA, 1 Batterymarch Park, Quincy, MA 02169-7471  
An International Codes and Standards Organization

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## NFPA® 790

### Standard for

## Competency of Third-Party Field Evaluation Bodies

### 2014 Edition

This edition of NFPA 790, *Standard for Competency of Third-Party Field Evaluation Bodies*, was prepared by the Technical Committee on Electrical Equipment Evaluation and released by the Technical Correlating Committee on National Electrical Code®. It was issued by the Standards Council on July 5, 2013, with an effective date of July 25, 2013, and supersedes all previous editions.

This edition of NFPA 790 was approved as an American National Standard on July 25, 2013.

### Origin and Development of NFPA 790

The Technical Committee on Electrical Equipment Evaluation was organized in 2008 by NFPA in recognition of the need for requirements for the qualifications and competency of third parties performing field evaluations on electrical products and assemblies and to guide the process for field evaluations.

One means to demonstrate conformance of products to an applicable product safety standard is through certification. Historically, certification was accomplished through a laboratory investigation of a prototype or initial sample to determine compliance with the standard, with a system of ongoing follow-up inspections conducted to continue certification. The result was a “Certification,” “Listing,” “Recognition,” or “Classification” of the product as defined by various standards, including *NFPA 70®*, *National Electrical Code®*. These processes were formalized in several international standards, including ISO/IEC Guide 65, *General Requirements for Bodies Operating Product Certification Systems*, and ISO/IEC Standard 17020, *General Criteria for the Operation of Various Types of Bodies Performing Inspection*.

As the marketplace evolved, more and more products needed to be evaluated differently from the above system because they were already installed at the installation site. Another condition that did not fit the normal process and required some other process of evaluation was that some products needed to be evaluated but were not produced in quantities that fit the traditional certification model economically. The alternative process to meet the needs for evaluation of unique, modified, or other equipment beyond the manufacturing process became known as a “field evaluation.” The process used for field evaluations, by the nature of the work, is a blend of ISO/IEC Guide 65 and ISO/IEC Standard 17020.

In 2008, a task group identified the need to create two documents covering the performance of field evaluations of electrical equipment and used the following document as the basis for development: *Recommended Competency Guidelines for Third Party Field Evaluation Bodies*, which was developed by the American Council for Electrical Safety (ACES), a division of the American Council of Independent Laboratories (ACIL) (first edition, November 17, 2005).

The ACES document provided guidelines regarding the competency of firms that perform field evaluations. NFPA 790 and its companion document, NFPA 791, *Recommended Practice and Procedures for Unlabeled Electrical Equipment Evaluation*, provide their users with the ability to qualify who can complete field evaluations and how field evaluations specifically for electrical products are to be completed.

No changes were made to the 2014 edition of NFPA 790 other than updating the reference of *NFPA 70®*, *National Electrical Code®*, from the 2011 edition to the 2014 edition.

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**Committee Scope:** This committee shall have primary responsibility for documents covering the performance of field evaluations of electrical equipment. This committee shall also have primary responsibility for documents on the competency of companies and individuals within those companies conducting field evaluations. This committee shall have primary jurisdiction, but shall report to the Association through the National Electrical Code Technical Correlating Committee.

## Contents

<b>Chapter 1 Administration</b> .....	790- 5	8.2 Application .....	790-10
1.1 Scope .....	790- 5	<b>Chapter 9 Preparation for Evaluation</b> .....	790-10
1.2 Purpose .....	790- 5	9.1 Evaluation Preparation .....	790-10
1.3 Application .....	790- 5	9.2 Assignment of Qualified FEB Personnel ...	790-10
<b>Chapter 2 Referenced Publications</b> .....	790- 5	<b>Chapter 10 Evaluation</b> .....	790-10
2.1 General .....	790- 5	10.1 Evaluation Standards .....	790-10
2.2 NFPA Publications. (Reserved) .....	790- 5	10.2 Evaluation Locations .....	790-10
2.3 Other Publications .....	790- 5	<b>Chapter 11 Evaluation Report</b> .....	790-10
2.4 References for Extracts in Mandatory Sections .....	790- 5	11.1 Technical Reports .....	790-10
<b>Chapter 3 Definitions</b> .....	790- 5	11.2 Personnel .....	790-10
3.1 General .....	790- 5	11.3 Notification of Applicant .....	790-10
3.2 NFPA Official Definitions .....	790- 5	11.4 Corrective Actions .....	790-10
3.3 General Definitions .....	790- 5	11.5 Format and Content .....	790-10
<b>Chapter 4 FEB Application for Recognition</b> .....	790- 6	11.6 Accuracy .....	790-10
4.1 Application .....	790- 6	11.7 Review .....	790-10
4.2 Contents of Application .....	790- 6	<b>Chapter 12 Decision to Issue an FEB Statement of Conformity</b> .....	790-10
<b>Chapter 5 FEB Organization</b> .....	790- 6	12.1 Conformity Decision .....	790-10
5.1 General Provisions .....	790- 6	12.2 Evaluator Decision .....	790-10
5.2 Organization and Management .....	790- 6	12.3 Delegation .....	790-10
5.3 Operations .....	790- 7	<b>Chapter 13 Use of FEB Statement of Conformity</b> .....	790-10
5.4 Subcontracting .....	790- 7	13.1 Control of FEB Statements of Conformity .....	790-10
5.5 Management System .....	790- 7	13.2 Improper References .....	790-10
5.6 Conditions and Procedures for Field Evaluations .....	790- 8	<b>Chapter 14 Test and Measuring Equipment</b> .....	790-10
5.7 Internal Audits and Management Review .....	790- 8	14.1 Calibration Program .....	790-10
5.8 Documentation .....	790- 8	14.2 Operator and Maintenance Instructions ....	790-10
5.9 Records .....	790- 8	14.3 Suspect Test Equipment .....	790-11
5.10 Confidentiality .....	790- 9	14.4 Trace Back Process .....	790-11
<b>Chapter 6 FEB Personnel</b> .....	790- 9	14.5 Calibration Marking .....	790-11
6.1 General .....	790- 9	14.6 Equipment Records .....	790-11
6.2 Qualification Criteria .....	790- 9	<b>Annex A Explanatory Material</b> .....	790-11
<b>Chapter 7 Appeals, Complaints, and Disputes</b> .....	790- 9	<b>Annex B Application for Recognition as a Field Evaluation Body (FEB)</b> .....	790-12
7.1 Appeals, Complaints, and Disputes Procedures .....	790- 9	<b>Annex C Electrical Product Groups</b> .....	790-12
7.2 Documentation and Subsequent Actions .....	790- 9	<b>Annex D Informational References</b> .....	790-12
<b>Chapter 8 Application for Evaluation</b> .....	790- 9	<b>Index</b> .....	790-17
8.1 Information on Procedures .....	790- 9		



## NFPA 790

## Standard for

Competency of Third-Party Field  
Evaluation Bodies

## 2014 Edition

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A reference in brackets [ ] following a section or paragraph indicates material that has been extracted from another NFPA document. As an aid to the user, the complete title and edition of the source documents for extracts in mandatory sections of the document are given in Chapter 2 and those for extracts in informational sections are given in Annex D. Extracted text may be edited for consistency and style and may include the revision of internal paragraph references and other references as appropriate. Requests for interpretations or revisions of extracted text shall be sent to the technical committee responsible for the source document.

Information on referenced publications can be found in Chapter 2 and Annex D.

## Chapter 1 Administration

## 1.1 Scope.

## 1.1.1 Establishing Competence.

**1.1.1.1** The provisions of this standard shall address requirements for the qualification and competency of a body performing field evaluations on electrical products and assemblies with electrical components.

**1.1.1.2** These requirements are based on ISO/IEC Guide 65 and ISO/IEC 17020 with adaptation for the unique characteristics of field evaluations.

## 1.1.2 Competent FEBs.

**1.1.2.1** A field evaluation body (FEB) meeting the requirements of this standard shall be considered competent to perform field evaluations.

**1.1.2.2** These requirements shall apply to both the initial and continued competency of FEBs.

**1.2 Purpose.** This standard shall provide the requirements for the competency of an FEB and for the recognition of an FEB by an authority having jurisdiction or other recognition body.

**1.3 Application.** This standard shall be used by FEBs as the basis to seek recognition by an authority having jurisdiction or other recognition body in the application of evaluating the conformance of electrical equipment to the companion document.

## Chapter 2 Referenced Publications

**2.1 General.** The documents or portions thereof listed in this chapter are referenced within this standard and shall be considered part of the requirements of this document.

## 2.2 NFPA Publications. (Reserved)

## 2.3 Other Publications.

*Merriam-Webster's Collegiate Dictionary*, 11th edition, Merriam-Webster, Inc., Springfield, MA, 2003.

## 2.4 References for Extracts in Mandatory Sections.

NFPA 70®, *National Electrical Code*®, 2014 edition.

## Chapter 3 Definitions

**3.1 General.** The definitions contained in this chapter shall apply to the terms used in this standard. Where terms are not defined in this chapter or within another chapter, they shall be defined using their ordinarily accepted meanings within the context in which they are used. *Merriam-Webster's Collegiate Dictionary*, 11th edition, shall be the source for the ordinarily accepted meaning.

## 3.2 NFPA Official Definitions.

**3.2.1\* Approved.** Acceptable to the authority having jurisdiction.

**3.2.2\* Authority Having Jurisdiction (AHJ).** An organization, office, or individual responsible for enforcing the requirements of a code or standard, or for approving equipment, materials, an installation, or a procedure.

**3.2.3 Labeled.** Equipment or materials to which has been attached a label, symbol, or other identifying mark of an organization that is acceptable to the authority having jurisdiction and concerned with product evaluation, that maintains periodic inspection of production of labeled equipment or materials, and by whose labeling the manufacturer indicates compliance with appropriate standards or performance in a specified manner.

**3.2.4\* Listed.** Equipment, materials, or services included in a list published by an organization that is acceptable to the authority having jurisdiction and concerned with evaluation of products or services, that maintains periodic inspection of production of listed equipment or materials or periodic evaluation of services, and whose listing states that either the equipment, material, or service meets appropriate designated standards or has been tested and found suitable for a specified purpose.

**3.2.5 Shall.** Indicates a mandatory requirement.

**3.2.6 Should.** Indicates a recommendation or that which is advised but not required.

**3.2.7 Standard.** A document, the main text of which contains only mandatory provisions using the word “shall” to indicate requirements and which is in a form generally suitable for mandatory reference by another standard or code or for adoption into law. Nonmandatory provisions shall be located in an appendix or annex, footnote, or fine-print note and are not to be considered a part of the requirements of a standard.

## 3.3 General Definitions.

**3.3.1\* Electrical Equipment.** Any device, appliance, or machine that generates, conducts, or utilizes electrical energy.



**3.3.2 Equipment.** A general term, including fittings, devices, appliances, luminaires, apparatus, machinery, and the like used as a part of, or in connection with, an electrical installation. [70, 2014]

**3.3.3 Field Evaluation.** The process used to determine conformance with requirements for one-of-a-kind, limited production, used, or modified products that are not listed or field labeled under a certification program.

**3.3.4 Field Evaluation Body (FEB).** An organization, or part of an organization, that performs field evaluations of electrical or other equipment.

**3.3.5 Field Evaluation Body Statement of Conformity.** Mark, logo, certificate, label, or other mechanism by which the FEB identifies an individual product or system that has been evaluated resulting in a successful demonstration that specified requirements have been fulfilled.

**3.3.6 Field Labeled (as applied to evaluated products).** Equipment or materials to which has been attached a label, symbol, or other identifying mark of an FEB indicating the equipment or materials were evaluated and found to comply with requirements as described in an accompanying field evaluation report.

**3.3.7\* Nationally Recognized Standard.** A document that specifies the safety requirements for specific equipment or class of equipment and that is recognized in the country where the equipment is installed, as applicable, as a safety standard providing a level of safety; is compatible with and maintained current with periodic revisions of applicable national codes and installation standards; and was developed by a standards developing organization under a method providing for input and consideration of views of industry groups, experts, users, consumers, governmental authorities, and others having broad experience in the safety field involved; or a document that is currently designated as an American National Standards Institute (ANSI) or ASTM International safety-designated product, material, or test standard used for evaluation of products or materials.

## Chapter 4 FEB Application for Recognition

### 4.1 Application.

**4.1.1** An FEB seeking recognition to provide field evaluation services shall submit a written application to the authority having jurisdiction or other body that is being requested to grant the recognition.

**4.1.2** Submitted applications shall be subject to the policies and procedures of the authority having jurisdiction or other recognition body.

**4.2\* Contents of Application.** The application from the FEB shall have the information specified in Chapters 5 through 14 provided either in the application or the accompanying documentation.

## Chapter 5 FEB Organization

### 5.1 General Provisions.

#### 5.1.1 Nondiscrimination.

**5.1.1.1** The policies and procedures under which the FEB and their administration operates shall be nondiscriminatory and shall be administered in a nondiscriminatory manner.

**5.1.1.2** Procedures shall not be used to impede or inhibit access by applicants to the FEB, other than as provided in this standard.

**5.1.2** The FEB shall make its services accessible to all applicants whose activities fall within its recognized field of operation.

**5.1.2.1** The FEB shall not impose excessive financial or other requirements as a precondition for product evaluation.

**5.1.2.2** Access shall not be conditional upon the financial status of the applicant or membership of any association or group, nor shall the decision to issue an FEB statement of conformity be conditional upon the number of such certificates already issued.

**5.1.3** The FEB shall apply nationally recognized standards as the criteria against which the products of an applicant are evaluated.

**5.1.4\*** The FEB shall confine its requirements, evaluations, and decisions to those matters specifically related to the scope of the field evaluation.

### 5.2 Organization and Management.

**5.2.1** The structure and management of the FEB shall include the following criteria to gain confidence in its field evaluations:

- (1) Be impartial
- (2) Be responsible for field evaluation decisions
- (3)\*Be a legally identifiable business entity, registered with a government
- (4) Have a documented structure that safeguards impartiality, including policies and procedures to ensure the impartiality of the operation of the FEB
- (5)\*Have rights and responsibilities relevant to its field evaluation activities
- (6) Have arrangements to cover liabilities arising from its operation and/or activities
- (7) Have the financial stability and resources required for field evaluations
- (8) Have a management system giving confidence in its ability to perform field evaluations
- (9) Have policies and procedures that distinguish between field evaluation and any other activities in which the FEB is engaged

#### 5.2.2 Management Structure.

**5.2.2.1** The FEB shall define and document the management (committee, group, or person), which shall have overall responsibility for the following:

- (1) Performance of activities defined in this standard
- (2) Formulation of policy matters relating to the operation of the FEB
- (3) Review of field evaluation decisions
- (4) Supervision of the implementation of the FEB's policies
- (5) Supervision of the finances of the FEB
- (6) Delegation of authority to committees or individuals as required to conduct defined activities on the FEB's behalf
- (7) Definition of the technical basis for field evaluations

**5.2.2.2** The management shall have a managerial staff with the authority and resources to discharge their duties.

**5.2.3** The FEB shall be independent from outside influences for the products it evaluates.



**5.2.4** The FEB shall use professional and ethical practices.

**5.2.5** The FEB shall be a third-party evaluator with appropriate technical background for the areas in which it operates.

**5.2.6 Ownership and Conflicts of Interest.**

**5.2.6.1** The FEB shall not be owned by manufacturers, suppliers, vendors, or installers of products using the FEB's services, nor shall such manufacturers, vendors, suppliers, or installers have any operational control over the body.

**5.2.6.2** The FEB shall have a policy for identifying and resolving conflicts of interest covering all employees, including the following:

- (1) Measures to ensure that there are no conflicts of interest between its staff and any client
- (2) Clear instructions for rejecting all types of improper influence the staff can encounter
- (3) Measures to prevent personnel from being assigned to a field evaluation if they have been involved in, or have been employed by a body involved in, the design, supply, installation, or maintenance of such products in a manner and within a time period that could conflict with impartiality
- (4) Measures to prevent individuals completing, contributing to, or responsible for a field evaluation from acting as an advocate or consultant for that client whose products or materials have been the subject of the field evaluation

**5.2.7** The FEB shall not engage in the implementation or design of corrective measures resulting from evaluation of a product.

**5.2.7.1** Design reviews, review of proposed corrective actions, consultation for applicable standards, and interpretations shall be permitted to be performed by the FEB.

**5.2.7.2** The actual design or completion of corrective actions shall not be performed by the FEB.

**5.2.8** The FEB shall ensure that activities of related bodies do not affect the confidentiality, objectivity, and impartiality of its field evaluations.

**5.2.9** The FEB shall not perform either of the following:

- (1) Supply or design products of the types for which it performs field evaluations
- (2) Provide any other products or services that could compromise the confidentiality, objectivity, or impartiality of its field evaluations

**5.2.10** The FEB shall have policies and procedures for the resolution of complaints, appeals, and disputes received from suppliers or other parties about its field evaluations.

**5.3 Operations.**

**5.3.1** The FEB shall specify the relevant standards or parts thereof and any other requirements that formed the basis for the field evaluation.

**5.3.2** The FEB shall take all steps necessary to evaluate conformance with the relevant product standards.

**5.4 Subcontracting.** When an FEB decides to subcontract work related to field evaluation to an external body or person, a properly documented agreement covering the arrangements, including confidentiality and conflict of interest, shall be drawn up and executed.

**5.4.1** The FEB shall take full responsibility for all subcontracted work and maintain its responsibility for the field evaluation.

**5.4.2** The FEB shall ensure and be able to demonstrate that its subcontractor complies with the same criteria of competence as the FEB with respect to the work being subcontracted.

**5.4.3** The FEB shall ensure that the subcontractor complies with the same requirements for independence as applied to the FEB.

**5.4.4** The FEB shall advise the client in writing of its intention to subcontract any field evaluation activity to another party.

**5.4.5** The FEB shall record and retain details of its investigation of its subcontractors and maintain a register of all subcontractors.

**5.4.6** The FEB shall maintain records of all suppliers from whom it obtains support services or supplies that affect the outcome of its field evaluations.

**5.5 Management System.**

**5.5.1** The FEB shall have an individual with responsibility for the management system to ensure ongoing fulfillment of the requirements in this standard and its implementation.

**5.5.1.1** The FEB shall define and document its policy, objectives for, and commitment to fulfilling the requirements of this standard.

**5.5.1.2** The individual responsible for the management system shall have direct access to the highest levels of management at which decisions are made on field evaluation policy or resources and direct access to the technical manager.

**5.5.2** The FEB shall establish and maintain an effective management system in accordance with the relevant elements of this standard and appropriate to the type, range, and volume of field evaluation activities undertaken.

**5.5.2.1** The management system shall be documented, and the documentation shall be available for use by the FEB personnel.

**5.5.2.2** The FEB management shall ensure that policies and objectives are communicated to, understood by, and implemented by all FEB personnel concerned.

**5.5.2.3** The management system documentation shall be maintained current.

**5.5.2.4** The individual responsible for the management system shall report annually to the FEB's management for review as a basis for improvement.

**5.5.3** The management system documentation shall contain the following:

- (1) A policy statement regarding fulfillment of this standard, including objectives and commitments, by top management
- (2) A brief description of the legal status of the FEB, including the names of its owners, the organization, and management structure of the FEB
- (3) A brief description of the FEB that, when it is part of a larger organization, includes the description of its place in any parent organization and relevant organizational charts

- (4) The names, qualifications, experience, and terms of reference of the senior executive and other field evaluation personnel, both internal and external
- (5) An organization chart showing lines of authority, responsibility, and allocation of functions stemming from the senior executive, including the relations between management, technical operations, and support services
- (6) Administration procedures, including those for control and maintenance of documentation
- (7) The duties of staff so that the extent and limits of each person's responsibility are known to all concerned
- (8) The procedures for the recruitment, selection, and training of FEB personnel and monitoring their performance, including job descriptions of key staff and reference to the job descriptions of other staff
- (9) A list of approved subcontractors and the procedures for assessing, recording, and monitoring their competence
- (10) Procedures to be followed to handle nonconformities and ensuring the effectiveness of any corrective actions taken whenever departures from documented policies and procedures occur
- (11) Procedures for dealing with complaints, appeals, and disputes
- (12) Procedures for internal audits and the policy and procedures for conducting management reviews
- (13) Procedures for exceptions and/or departures from documented policies and procedures or from standard specifications

**5.5.3.1** The FEB shall have procedures for implementing the field evaluation process, including the following:

- (1) Handling items subject to field evaluation
- (2) The FEB scope of competency
- (3) Arrangements for the FEB to review all new work to ensure that it has the appropriate resources before commencing such work
- (4) Reference to the major equipment and reference measurement standards used
- (5) Reference to procedures for calibration, verification, and maintenance of equipment used and the procedures for achieving traceability of measurements
- (6) Reference to verification practices to ensure that the field evaluation process is being followed
- (7) Systems and procedures to control the FEB statement of conformity
- (8) Procedures for protecting confidentiality and proprietary rights

**5.5.3.2** The FEB shall confine its activities to those areas in its recognized scope for field evaluation.

**5.6 Conditions and Procedures for Field Evaluations.** The FEB shall have procedures that specify the conditions and the process for granting and withdrawing a statement of conformity.

#### **5.7 Internal Audits and Management Review.**

**5.7.1** The FEB shall arrange for annual internal audits of its activities to verify that the management system is implemented and effective.

**5.7.1.1** The FEB shall ensure that such audits are carried out by trained and qualified staff who are, wherever possible, independent of the activity to be audited.

**5.7.1.2** The FEB shall ensure that personnel responsible for the area audited are informed of the outcome of the audit.

**5.7.1.3** The FEB shall ensure that corrective action is taken in a timely and appropriate manner.

**5.7.1.4** The FEB shall ensure that the results of the audit are documented.

**5.7.2** Where the audit findings cast doubt on the correctness or validity of field evaluation results, the following actions shall be taken:

- (1) Immediate corrective action
- (2) Immediate notification in writing to the client whose product could have been affected as well as other parties affected

**5.7.3** All internal audit and management review findings and any corrective actions that arise from them shall be documented.

**5.7.3.1** The person responsible for the management system shall ensure that these actions are discharged within the agreed time frame.

**5.7.3.2** The management system adopted to satisfy the requirements of this standard shall be reviewed at least once a year by the FEB management to ensure its continuing suitability and effectiveness and to introduce any necessary changes or improvements.

#### **5.8 Documentation.**

**5.8.1** The FEB shall provide the following data (through publications, electronic media, or other means) updated at regular intervals and made available on request:

- (1) Information about the recognition(s) under which the FEB operates, as established through Section 4.1
- (2) A documented statement of its field evaluation system, including its rules and procedures for granting and withdrawing statements of conformity
- (3) Information about evaluation procedures
- (4) A description of the means by which the FEB obtains financial support and general information on the fees charged for the evaluation service
- (5) A description of the rights and duties of applicants and suppliers to the FEB, including requirements, restrictions for, and limitations on use of the FEB's mark and the ways of referring to the statement of conformity
- (6) Information about procedures for handling complaints, appeals, and disputes

**5.8.2** The FEB shall establish and maintain procedures to control all documents and data that relate to its field evaluation functions.

#### **5.9 Records.**

##### **5.9.1 Record System.**

**5.9.1.1** The FEB shall maintain a record system to suit its particular circumstances.

**5.9.1.2** The records shall demonstrate that the field evaluation procedures have been fulfilled, particularly with respect to application forms, evaluation reports, and other documents relating to granting or withdrawing the statement of conformity.

**5.9.1.3** Records shall be identified, managed, and disposed of in such a way as to ensure the integrity of the process and the security and confidentiality of the information.

**5.9.1.4** The records shall contain all original observations, calculations, delivered data, calibration records, and other documentation resulting from the evaluation.

**5.9.1.5** The records shall include the identity of personnel involved in conducting and reviewing the evaluation work.

**5.9.2 Record Retention.** The FEB shall have a policy and procedures for retaining records for a period of time consistent with contractual, legal, or other obligations, except they shall be retained for a minimum period of 36 months.

### **5.10 Confidentiality.**

#### **5.10.1 Safeguarding Confidentiality.**

**5.10.1.1** The FEB shall have arrangements consistent with applicable laws to safeguard confidentiality of the information obtained or derived in the course of the evaluation activities.

**5.10.1.2** This confidentiality shall apply to all persons and all levels within the FEB organization, including any subcontractors that might be employed.

#### **5.10.2 Disclosure to Third Party.**

**5.10.2.1** Except as required by this standard or by law, information gained in the course of the evaluation about a particular product, supplier, or the applicant shall not be disclosed to a third party without the written consent of the applicant.

**5.10.2.2** Where the law requires information to be disclosed to a third party, the applicant shall be informed of the information provided as permitted by the law.

## **Chapter 6 FEB Personnel**

### **6.1 General.**

**6.1.1** The personnel of the FEB shall be competent for the functions they perform, including making required technical judgments and decisions.

#### **6.1.2 Instructions.**

**6.1.2.1** Clearly documented instructions shall be available to the personnel describing their duties and responsibilities.

**6.1.2.2** These instructions shall be maintained up-to-date.

**6.1.3 Technical Manager.** The FEB shall have a technical manager(s) with overall responsibility for the technical operations of the organization.

**6.1.3.1** The technical manager(s) shall have knowledge of the principles of the technical disciplines and provide oversight of evaluation procedures.

**6.1.3.2\*** The technical manager(s) shall be competent for the functions performed, including making required technical judgements, framing policies, and implementing them.

**6.1.3.3** The technical manager(s) shall have the final authority within the FEB to interpret standards.

### **6.2 Qualification Criteria.**

**6.2.1** In order to ensure that field evaluation activities are carried out effectively and uniformly, the minimum relevant criteria for the competence of personnel involved in field evaluation activities shall be defined by the FEB.

**6.2.2** The FEB shall require its personnel involved in the field evaluation process to sign a contract or other document by which they commit themselves as follows:

- (1) To comply with the rules defined by the FEB, including those relating to confidentiality and independence from commercial and other interests
- (2) To declare any prior and/or present association on their own part, or on the part of their employer, with a supplier or designer of products

### **6.2.3 Qualifications Records.**

**6.2.3.1** Information on the relevant qualifications, training, and experience of each of the personnel involved with field evaluation activities shall be maintained by the FEB.

**6.2.3.2** Records of training and experience shall be kept up-to-date, in particular the following:

- (1) Name and address
- (2) Organization affiliation and position held
- (3) Educational qualifications and professional status
- (4) Experience and training in each technical area
- (5) Date of most recent revision to the record
- (6) Performance appraisal

**6.2.4** The FEB shall maintain a training program to keep individuals completing evaluations up-to-date on applicable requirements.

**6.2.4.1** The training and competency of individuals shall be regularly audited under the FEB management system.

**6.2.4.2** The FEB shall comply with any requirements for registration of technical staff as provided by statute in the states or provinces where services are performed.

## **Chapter 7 Appeals, Complaints, and Disputes**

**7.1 Appeals, Complaints, and Disputes Procedures.** Appeals, complaints, and disputes brought before the FEB by applicants or other parties shall be subject to the procedures of the FEB.

**7.2 Documentation and Subsequent Actions.** Each FEB shall perform the following duties:

- (1) Keep a record of all appeals, complaints, and disputes and the remedial actions taken relative to the evaluation
- (2) Take appropriate subsequent action
- (3) Document the action(s) taken and its effectiveness

## **Chapter 8 Application for Evaluation**

### **8.1\* Information on Procedures.**

**8.1.1** The FEB shall provide applicants with an up-to-date detailed description of the evaluation procedures used for the evaluation process.

**8.1.2** These procedures shall include the rights and duties of the applicant.

**8.1.3** The FEB shall require the applicant to do the following:

- (1) To make all necessary arrangements for the conduct of the evaluation, including provisions for examining documentation and access to all areas, records, and personnel for the purposes of completing the evaluation
- (2) To make any claims regarding field evaluation only within the scope of the statement of conformity



- (3) To not use the statement of conformity in such a manner as to bring the FEB into disrepute and to not make any statement regarding the statement of conformity that the FEB could consider misleading or unauthorized
- (4) To use the statement of conformity only to indicate that the product is in conformity with the specified standard(s)
- (5) To comply with the requirements of the FEB when referring to a statement of conformity in any communication media, such as documents, brochures, or advertising

## 8.2 Application.

**8.2.1** The FEB shall require completion of an official application form submitted by an authorized representative of the applicant and including the following:

- (1) The scope of the desired evaluation
- (2) A statement that the applicant agrees to comply with all the requirements for the evaluation
- (3) A statement that the applicant agrees to supply any information requested for the evaluation of the product

**8.2.2** The applicant, as a minimum, shall provide the following information:

- (1) Corporate entity, name, address, and legal status as applicable
- (2) A definition of the product(s) to be evaluated and, if known, the standard(s) for evaluation

## Chapter 9 Preparation for Evaluation

**9.1 Evaluation Preparation.** Before proceeding with the evaluation, the FEB shall conduct a review, and maintain records of that review, of the application for the evaluation to ensure that the FEB has the capability to perform the evaluation service within the identified scope.

**9.2 Assignment of Qualified FEB Personnel.** The FEB shall assign personnel appropriately qualified to perform the tasks for the specific evaluation.

## Chapter 10 Evaluation

**10.1 Evaluation Standards.** The FEB shall evaluate the products of the applicant in accordance with the following:

- (1) The standard(s) covered by the scope of the product as defined in the application
- (2) All the applicable evaluation criteria specified in the rules of the FEB's evaluation program

## 10.2 Evaluation Locations.

**10.2.1** The field evaluation process shall be completed at the final installation site.

**10.2.2** A preliminary evaluation for the field evaluation, if conducted, shall be permitted to be conducted at the point of manufacturing, at interim points of distribution, in the evaluating company's facilities, or at the final installation site.

## Chapter 11 Evaluation Report

**11.1 Technical Reports.** The FEB shall adopt reporting procedures that suit its needs, the needs of the applicant, and the needs of any other affected parties.

**11.2 Personnel.** Personnel contributing to and responsible for the evaluation of conformance of a product shall provide the FEB with a report of findings as to the conformity with all the applicable requirements of the standard(s).

**11.3 Notification of Applicant.** The full report on the outcome of the evaluation shall be brought to the applicant's notice by the FEB, identifying any nonconformity that has to be corrected in order to comply with the applicable requirements of the standard(s).

**11.4 Corrective Actions.** The report shall further state what additional activities are required to complete the evaluation.

**11.5\* Format and Content.** The format and content of the field evaluation technical report shall follow accepted industry guidelines.

**11.6\* Accuracy.** Field evaluation reports, as well as all information needed to understand and interpret them, shall be reported correctly, accurately, and clearly.

**11.7 Review.** A process of checking completed reports shall be established to confirm that this requirement has been met.

## Chapter 12 Decision to Issue an FEB Statement of Conformity

**12.1 Conformity Decision.** The decision as to whether to issue an FEB statement of conformity for a product shall be made by the FEB based on the information gathered during the evaluation process and any other relevant information.

**12.2 Evaluator Decision.** The decision to issue a statement of conformity shall be made by the FEB employee responsible for the completion of the evaluation process.

**12.3 Delegation.** The FEB shall not delegate authority for issuing or withdrawing a statement of conformity to an outside person or body, except as specified under the subcontracting procedures in Section 5.4.

## Chapter 13 Use of FEB Statement of Conformity

**13.1 Control of FEB Statements of Conformity.** The FEB shall exercise proper control over the ownership, use, and display of FEB statements of conformity.

**13.2 Improper References.** Incorrect references to the field evaluation system or misleading use of licenses, certificates, or marks found in advertisements, catalogs, and so forth, shall be dealt with by corrective action.

## Chapter 14 Test and Measuring Equipment

**14.1 Calibration Program.** The FEB shall have a program to ensure that all test and measuring equipment is, at a minimum, calibrated and traceable to NIST standards or equivalent.

## 14.2 Operator and Maintenance Instructions.

**14.2.1** All equipment shall include operator instructions required for the correct performance of the testing and measuring equipment.



**14.2.2 Maintenance procedures** for the equipment shall be documented.

**14.3 Suspect Test Equipment.** Equipment that has been subject to overloading or mishandling or that gives suspect results shall be taken out of service until repaired, calibrated, and tested to confirm satisfactory performance.

**14.4 Trace Back Process.** The FEB shall examine the effects of such defects on previous evaluations conducted with the suspect equipment.

**14.5 Calibration Marking.** Equipment shall be marked identifying the calibration status and date of calibration.

**14.6 Equipment Records.** Records of all equipment shall be maintained as follows:

- (1) Name of the equipment
- (2) Manufacturer, type identification, model, and serial number
- (3) Date received and date placed in service
- (4) Condition when received (e.g., new, used, reconditioned)
- (5) Copy of manufacturer's instructions
- (6) Dates and results of calibrations and date of the next calibration
- (7) Certificate of calibration
- (8) Details of maintenance performed on equipment to date and those planned for future
- (9) History of any damage, malfunction, modification, or repair
- (10) Current location of equipment, if applicable

## Annex A Explanatory Material

*Annex A is not a part of the requirements of this NFPA document but is included for informational purposes only. This annex contains explanatory material, numbered to correspond with the applicable text paragraphs.*

**A.3.2.1 Approved.** The National Fire Protection Association does not approve, inspect, or certify any installations, procedures, equipment, or materials; nor does it approve or evaluate testing laboratories. In determining the acceptability of installations, procedures, equipment, or materials, the authority having jurisdiction may base acceptance on compliance with NFPA or other appropriate standards. In the absence of such standards, said authority may require evidence of proper installation, procedure, or use. The authority having jurisdiction may also refer to the listings or labeling practices of an organization that is concerned with product evaluations and is thus in a position to determine compliance with appropriate standards for the current production of listed items.

**A.3.2.2 Authority Having Jurisdiction (AHJ).** The phrase “authority having jurisdiction,” or its acronym AHJ, is used in NFPA documents in a broad manner, since jurisdictions and approval agencies vary, as do their responsibilities. Where public safety is primary, the authority having jurisdiction may be a federal, state, local, or other regional department or individual such as a fire chief; fire marshal; chief of a fire prevention bureau, labor department, or health department; building official; electrical inspector; or others having statutory authority. For insurance purposes, an insurance inspection department, rating bureau, or other insurance company representative may be the authority having jurisdiction. In many

circumstances, the property owner or his or her designated agent assumes the role of the authority having jurisdiction; at government installations, the commanding officer or departmental official may be the authority having jurisdiction.

**A.3.2.4 Listed.** Equipment, materials, or services included in a list published by an organization that is acceptable to the authority having jurisdiction and concerned with evaluation of products or services, that maintains periodic inspection of production of listed equipment or materials or periodic evaluation of services, and whose listing states that either the equipment, material, or service meets appropriate designated standards or has been tested and found suitable for a specified purpose.

**A.3.3.1 Electrical Equipment.** The term *electrical equipment* is used in this document to clearly indicate that the coverage for a field evaluation is inclusive of products that generate, transmit, distribute, control, or utilize electrical energy.

**A.3.3.7 Nationally Recognized Standard.** Most of these standards are also established as American National Standards by the American National Standards Institute (ANSI).

Examples include but are not limited to the following:

- (1) Underwriters Laboratories (UL)
- (2) National Fire Protection Association (NFPA)
- (3) National Electrical Manufacturers Association (NEMA)
- (4) Institute of Electrical and Electronics Engineers (IEEE)
- (5) ASTM International (ASTM)
- (6) Insulated Cable Engineers Association (ICEA)
- (7) Canadian Standards Association (gas) (CSA)

**A.4.2** An example of an application form is provided in Annex B.

**A.5.1.4** Requirements and information not stated in this standard could be additionally required by the authority having jurisdiction or entity using this standard in the assessment of an FEB's competence and of promoting safety, protection of life, and property.

**A.5.2.1(3)** Registration with the state or province as a legal sole proprietorship, partnership, or corporation and providing a certified copy of a State Certificate of Corporation or other appropriate business registration certificate is considered suitable documentation to show an FEB as being a legally identifiable organization. Organizations having only registration of a “fictitious business name” and no other documentation as a business entity are not considered legally identifiable.

**A.5.2.1(5)** The rights and responsibilities for the FEB can be shown by review of the contract documents the FEB uses with its clients.

**A.6.1.3.2** One criterion for determining suitable experience for the technical manager is a minimum of 5 years' experience in product testing or certification in the same or similar technical field.

**A.8.1** The terms *applicant* and *application* refer to the interaction between the FEB and those requesting its evaluation services.

**A.11.5** The report format and content as found in NFPA 791, *Recommended Practice and Procedures for Unlabeled Electrical Equipment Evaluation*, should be used for all field evaluation technical reports.

**A.11.6** This review is to ensure that the documentation being issued is clear, complete, and understandable by the users and to provide technical feedback to the individual performing the evaluation. This review is not for the purpose of making a decision on granting the field evaluation statement of conformity, nor must this review take place prior to issuance of the statement of conformity.

## **Annex B Application for Recognition as a Field Evaluation Body (FEB)**

*This annex is not a part of the requirements of this NFPA document but is included for informational purposes only.*

**B.1 Application.** Third parties seeking recognition as field evaluation bodies (FEBs) apply for recognition by submitting one copy of the application form [see Figure B.1(a)] and any other required information to the designated individual or office for the authority having jurisdiction (AHJ) where recognition is being sought. Applicants are to complete all sections and attach additional separate pages or documents, where necessary, to the application form with the information specified. Where separate pages are provided to complete any of the sections in the application form, applicants must ensure that the applicable section is adequately identified to provide correlation to the application form.

## **Annex C Electrical Product Groups**

*This annex is not a part of the requirements of this NFPA document but is included for informational purposes only.*

### **C.1 Electrical Product Groups.**

**C.1.1** This annex is to be used by FEBs applying for recognition for field evaluations of electrical products, equipment, or materials.

**C.1.2** The following electrical product groups are identified as those requiring similar skills and technical knowledge to properly complete a field evaluation:

- (1) Power distribution equipment under 600 volts, including switchboards, panelboards, motor control centers, transformers, and switches
- (2) Power distribution equipment over 600 volts (medium and high voltage), including switchgear, motor control, transformers, and switches

- (3) Industrial control and utilization equipment, including industrial control panels, factory automation and equipment, industrial process equipment, motor-operated tools, and machinery such as air compressors, pumps, and so forth
- (4) Commercial utilization equipment and appliances, including commercial cooking equipment, motor-operated commercial cooking equipment, refrigeration and cooling equipment, heating equipment, laundry and dry cleaning equipment, HVAC units, and fan units
- (5) Luminaires (lighting fixtures) and signs, including neon, LED, and messaging-type signs
- (6) Medical and dental equipment
- (7) Information technology equipment, including UPS systems and electronic control equipment
- (8) Wet location equipment, including pools, spas, hot tubs, and fountain equipment
- (9) Hazardous location equipment that has listed components for the area or is purged pressurized or ventilated in accordance with NFPA standards to be changed to unclassified status
- (10) Other similar electrical equipment

## **Annex D Informational References**

**D.1 Referenced Publications.** The documents or portions thereof listed in this annex are referenced within the informational sections of this standard and are not part of the requirements of this document unless also listed in Chapter 2 for other reasons.

**D.1.1 NFPA Publications.** National Fire Protection Association, 1 Batterymarch Park, Quincy, MA 02169-7471.

NFPA 791, *Recommended Practice and Procedures for Unlabeled Electrical Equipment Evaluation*, 2014 edition.

**D.1.2 Other Publications. (Reserved)**

**D.2 Informational References.** The following documents or portions thereof are listed here as informational resources only. They are not a part of the requirements of this document.

ISO/IEC 17000, *Conformity assessment— Vocabulary and general principles*, 2004.

ISO/IEC Guide 65, *General requirements for bodies operating product certification systems*, 1996.

ISO/IEC 17020, *Conformity assessment - Requirements for the operation of various types of bodies performing inspection*, 2012.

**D.3 References for Extracts in Informational Sections. (Reserved)**



## APPLICATION FOR RECOGNITION AS A THIRD-PARTY FIELD EVALUATION BODY (FEB)

### Corporation or Company Information

Legal name: \_\_\_\_\_

Mailing address (for main office): \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ ZIP: \_\_\_\_\_ County: \_\_\_\_\_

Street address (if different from mailing address): \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ ZIP: \_\_\_\_\_ County: \_\_\_\_\_

Attach addresses for all other locations on a separate page.

### Corporation or Company Legal Entity Information

Provide a certified copy of Registration, or other appropriate document, with a State or Province as a legal sole proprietorship, partnership, corporation, or LLC. Organizations having only a registration of a “fictitious business name” or no other documentation as a business entity are not considered legally identifiable.

Attach separate documentation showing legal status in the form of the company’s Articles of Incorporation or Registration, as registered with the State or Province in which the company is operating.

Provide the names, titles, and business affiliations of principal officers affiliated with the FEB.

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

### Corporation or Company Organization

Submit on a separate page the FEB Organizational Chart showing the organizational elements involved, key positions, relationships between components from the chief executive officer, or equivalent, to the project-handling individuals. Provide the names and titles of specific key individuals, including Technical Manager, Operations Manager, and any other supervisory personnel directly related to Field Evaluation operations.

First name: \_\_\_\_\_ Last name: \_\_\_\_\_ Title: \_\_\_\_\_

Business affiliation: \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**FIGURE B.1(a) Application for Recognition as a Third-Party Field Evaluation Body (FEB).**

## APPLICATION FOR RECOGNITION AS A THIRD-PARTY FIELD EVALUATION BODY (FEB) *(continued)*

### Corporation or Company Organization *(continued)*

Provide evidence of independence from any manufacturers, suppliers, distributors, or installers of the products to be evaluated (attach separate pages as necessary).

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### FEB Personnel

Provide the educational background, training experience, professional licenses, registrations or certificates, and other applicable qualifications for each of the following key personnel: Technical Manager, direct Supervisor of FEB operations, and individual(s) managing the management system defined in Section 5.5 of NFPA 790.

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Provide the minimum competency for personnel completing Field Evaluation projects, including educational background, experience, training, and professional registration.

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Provide a complete description of the training program and the auditing process to ensure continued accuracy, validity, and uniformity for performing evaluations.

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Provide records, including dates of the observation or examination, of the performance or personnel performing evaluations.

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Indicate any involvement the FEB will have in the design, promotion, or sale of the products being tested; engineering of projects where equipment could be specified; and contracting of any project where the project could be used. Provide a copy on policy for limiting conflict of interest in the evaluation of products per 5.2.6 of NFPA 790.

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**FIGURE B.1(b)** *Continued*



## APPLICATION FOR RECOGNITION AS A THIRD-PARTY FIELD EVALUATION BODY (FEB) *(continued)*

### Products Requested for Recognition

In the following section, indicate the product or products the FEB is applying for recognition. Use Annex C of NFPA 790 or indicate the reference standard(s) as the basis for this list. The FEB is to be prepared to substantiate qualifications to complete Field Evaluations for each of the product categories listed.

Product identification: \_\_\_\_\_

Reference standards: \_\_\_\_\_

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### Management System

Submit a copy of the FEB management system manual as described in 5.5.2 of NFPA 790.

### Procedures and Test Equipment

Submit documentation on the procedures and practices the FEB utilizes to complete Field Evaluations. This is to be in the form of the detailed process to be followed; references only to standards or practices is not acceptable (attach separate pages as needed).

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Provide an inventory list of test and measurement equipment used for evaluations and include the calibration schedule; see Chapter 13 of NFPA 790. Provide calibration reports on all test and measurement equipment used for evaluations for the past 5 years or, for companies with less than 5 years of records, since the beginning of operations.

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Submit calibration procedures for test and measurement equipment used for evaluations when in-house calibration is used. Submit name(s) of outside calibration laboratories used for calibrating equipment used for evaluations and provide a copy of accreditation for such equipment. Outside calibration laboratories are accredited by the following third-party organizations: National Voluntary Laboratory Accreditation Program (NVLAP), American Association for Laboratory Accreditation (A2LA), or equivalent.

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FIGURE B.1(c) *Continued*

## APPLICATION FOR RECOGNITION AS A THIRD-PARTY FIELD EVALUATION BODY (FEB) *(continued)*

### Procedures and Test Equipment *(continued)*

Where an outside calibration organization is not accredited by NVLAP, A2LA, or equivalent for the test and measurement equipment they are contracted to calibrate, provide the FEB's audit procedures to ensure that the procedures of the outside calibration organization meet minimum requirements for test and measurement equipment calibration and traceability to recognized national or international standards.

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### Records

Describe the key records that are maintained and the retention period, including a minimum; inspection, testing, and evaluation data sheets; evaluation reports; test and measurement calibration records; personnel qualifications; and training records.

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### Sample Report

Provide one sample evaluation report of the type the FEB produces or intends to produce. The sample report should contain the element as identified in NFPA 791, *Recommended Practice and Procedures for Unlabeled Electrical Equipment Evaluation*.

### Authorized Representative

The following information is for identifying the authorized representative for contacting and coordinating the recognition.

First name: \_\_\_\_\_ Last name: \_\_\_\_\_ Position: \_\_\_\_\_  
Phone: \_\_\_\_\_ Fax: \_\_\_\_\_ E-mail: \_\_\_\_\_

**FIGURE B.1(d)** *Continued*



## Index

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<b>-A-</b>	
<b>Administration</b> .....	Chap. 1
Application .....	1.3
Purpose .....	1.2
Scope.....	1.1
Competent FEBs .....	1.1.2
Establishing Competence .....	1.1.1
<b>Appeals, Complaints, and Disputes</b> .....	Chap. 7
Appeals, Complaints, and Disputes Procedures.....	7.1
Documentation and Subsequent Actions .....	7.2
<b>Application for Evaluation</b> .....	Chap. 8
Application .....	8.2
Information on Procedures.....	8.1, A.8.1
<b>Application for Recognition as a Field Evaluation Body (FEB)</b> .....	Annex B
<b>Approved</b> .....	
Definition .....	3.2.1, A.3.2.1
<b>Authority Having Jurisdiction (AHJ)</b> .....	
Definition .....	3.2.2, A.3.2.2
<b>-D-</b>	
<b>Decision to Issue an FEB Statement of Conformity</b> .....	Chap. 12
Conformity Decision .....	12.1
Delegation.....	12.3
Evaluator Decision .....	12.2
<b>Definitions</b> .....	Chap. 3
<b>-E-</b>	
<b>Electrical Equipment</b> .....	
Definition .....	3.3.1, A.3.3.1
<b>Electrical Product Groups</b> .....	Annex C
<b>Equipment</b> .....	
Definition.....	3.3.2
<b>Evaluation</b> .....	Chap. 10
Evaluation Locations .....	10.2
Evaluation Standards.....	10.1
<b>Evaluation Report</b> .....	Chap. 11
Accuracy .....	11.6, A.11.6
Corrective Actions .....	11.4
Format and Content .....	11.5, A.11.5
Notification of Applicant.....	11.3
Personnel.....	11.2
Review .....	11.7
Technical Reports .....	11.1
<b>Explanatory Material</b> .....	Annex A
<b>-F-</b>	
<b>FEB Application for Recognition</b> .....	Chap. 4
Application .....	4.1
Contents of Application .....	4.2, A.4.2
<b>FEB Organization</b> .....	Chap. 5
Conditions and Procedures for Field Evaluations .....	5.6
Confidentiality .....	5.10
Disclosure to Third Party .....	5.10.2
Safeguarding Confidentiality.....	5.10.1
Documentation .....	5.8
General Provisions .....	5.1
Nondiscrimination.....	5.1.1
Internal Audits and Management Review .....	5.7
Management System.....	5.5
Operations.....	5.3
Organization and Management .....	5.2
Management Structure.....	5.2.2
Ownership and Conflicts of Interest .....	5.2.6
Records .....	5.9
Record Retention.....	5.9.2
Record System.....	5.9.1
Subcontracting.....	5.4
<b>FEB Personnel</b> .....	Chap. 6
General .....	6.1
Instructions.....	6.1.2
Technical Manager .....	6.1.3
Qualification Criteria.....	6.2
Qualifications Records .....	6.2.3
<b>Field Evaluation</b> .....	
Definition.....	3.3.3
<b>Field Evaluation Body (FEB)</b> .....	
Definition.....	3.3.4
<b>Field Evaluation Body Statement of Conformity</b> .....	
Definition.....	3.3.5
<b>Field Labeled (as applied to evaluated products)</b> .....	
Definition.....	3.3.6
<b>-I-</b>	
<b>Informational References</b> .....	Annex D
<b>-L-</b>	
<b>Labeled</b> .....	
Definition.....	3.2.3
<b>Listed</b> .....	
Definition .....	3.2.4, A.3.2.4
<b>-N-</b>	
<b>Nationally Recognized Standard</b> .....	
Definition .....	3.3.7, A.3.3.7
<b>-P-</b>	
<b>Preparation for Evaluation</b> .....	Chap. 9
Assignment of Qualified FEB Personnel.....	9.2
Evaluation Preparation.....	9.1
<b>-R-</b>	
<b>Referenced Publications</b> .....	Chap. 2
General .....	2.1
NFPA Publications. (Reserved) .....	2.2
Other Publications.....	2.3
References for Extracts in Mandatory Sections .....	2.4
<b>-S-</b>	
<b>Shall</b> .....	
Definition.....	3.2.5
<b>Should</b> .....	
Definition.....	3.2.6
<b>Standard</b> .....	
Definition.....	3.2.7
<b>-T-</b>	
<b>Test and Measuring Equipment</b> .....	Chap. 14
Calibration Marking.....	14.5

Calibration Program ..... 14.1  
Equipment Records ..... 14.6  
Operator and Maintenance Instructions ..... 14.2  
Suspect Test Equipment ..... 14.3  
Trace Back Process ..... 14.4

-U-

**Use of FEB Statement of Conformity**..... Chap. 13  
Control of FEB Statements of Conformity ..... 13.1  
Improper References ..... 13.2