

UL Qualified Spray-Applied Fire Resistive Material (SFRM) Contractor Program requirements

Mark Integrity Program

Introduction:

This document outlines the contractor company requirements for participation in the UL Qualified Spray-Applied Fire Resistive Material (SFRM) Contractor Program.

The SFRM installation industry serves residential, institutional, commercial and industrial structures. The industry addresses the need to limit the damaging effects of fire by insulating structural building elements from fire. SFRMs help horizontal assemblies including floor/ceiling, roof/ceiling and building elements such as beams and columns obtain fire endurance ratings. SFRM contractors install certified SFRMs to establish a protective system for a structure to protect fire and life safety and comply with specification and customer requirements.

In order for a SFRM installation contractor organization to qualify for UL's SFRM Contractor Program, the contractor organization shall employ a knowledgeable individual who successfully demonstrates their competency to UL through successful completion of the Designated Responsible Individual (DRI) program at a contractor company that has been recognized in the NFCA Contractor Accreditation Program (CAP).

The company that enrolls in the UL Qualified SFRM Contractor program also has to establish, implement and maintain a management system focused on the application of SFRMs. A management system is used to describe the contractor's SFRM operations.

The Management System approach requires the Contractor to analyze customer requirements and establish, utilize and maintain controlled processes in the application of SFRMs. Customer requirements may be specified contractually or

may be determined by the construction documents that have had final approval by code authorities. Where special inspection is implemented, the AHJ ultimately determines the acceptability of the installation.

Because the SFRM contractor firm's selection and installation of SFRMs to requirements relies on staff knowledge, the UL Qualified SFRM Contractor Program requires at least one individual employed by the Contractor organization to be designated as a Designated Responsible Individual (DRI) who has demonstrated his/her knowledge via examination and meets other related requirements defined in this document.

Definitions

Authority Having Jurisdiction (AHJ) — The organization, office or individual responsible for implementing the adopted code. This is typically the building official or fire marshal, or another governmental agency who may also be the final authority signing the "Certificate of Occupancy Permit".

Certificate — The SFRM Contractor Certificate. This is a document issued after an audit has been completed, and conformance to all UL Qualified SFRM Contractor Program Requirements has been determined. The Certificate is valid until Dec. 31 of the following year from which the certificate was issued.

Continuing Education Unit (CEU) — For purposes of awarding CEU credit, the International Association of Continuing Education and Training (IACET) definition will be used for those individuals involved in the UL Qualified SFRM Contractor Program as follows: One (1) CEU is equal to 10 contact hours of participation in an organized continuing education experience under responsible sponsorship, capable direction, and qualified instruction. In determining eligibility of award of CEUs, UL Knowledge Services staff will assess



total number of contact hours, sponsoring organization, applicability of training content to industry and previous CEUs awarded. CEUs are awarded at the discretion of UL Knowledge Services.

Contingency Plan — A documented plan developed by the Contractor that details the actions to be taken by the Contractor for continued compliance with Program Requirements in the event the Designated Responsible Individual (DRI) ceases employment with the UL Qualified SFRM Contractor, or is unable to perform their duties.

Contractor — A firm or organization eligible for and applying to the UL Qualified SFRM Contractor Program.

Corrective Action — Action to eliminate the cause of a detected nonconformity or other undesirable situation.

Designated Responsible Individual (DRI) — An individual employed by the UL Qualified SFRM Contractor who is designated as a DRI by the contractor and who is determined by UL to meet the Program Requirements defined in this document, by passing the NFCA Fireproofing Exam.

NFCA — National Fireproofing Contractors Association; www.nfca-online.org

Manufacturer — The manufacturer of the UL Classified SFRM being stored, handled, or applied by the Contractor.

Nonconformity — Nonfulfillment of a requirement, including any issue identified and documented by the UL Auditor during the audit process that reflects deviation from the Program Requirements.

Preventative Action — Action to eliminate the cause of a potential nonconformity or other undesirable potential situation.

Program — UL's Qualified SFRM Contractor Program.

Program Requirements — Refers to the requirements described in this document.

Management System (MS) — Management systems to direct and control an organization with regards to quality (includes organizational structure, responsibilities, procedures, processes, and resources).

Management System Manual — Document specifying the Management System of the Contractor.

UL Qualified SFRM Contractor — Contractor that has been determined by UL to comply with the applicable Program Requirements.

Specifier Firm — The party responsible for development, issuance and control of the SFRMs specification for the structure or building.

Spray-Applied Fire Resistive Materials (SFRMs) — Material used to insulate structural steel elements and assemblies, or other building elements from fire and enabling structural horizontal assemblies including floor/ceiling, roof/ceiling, and beams and columns to obtain hourly fire endurance ratings. SFRMs are a key element of the passive fire protection strategy in building structures. SFRMs are applied in the field while a building is under construction.

UL Auditor — An individual designated by UL to conduct the Contractor audit in accordance with the Program Requirements.

UL Fire Resistance Design — UL fire resistance assembly as defined and rated in UL's Fire Resistance Directory.

Applicable documents

ISO/IEC DIS 17021; International standard, Conformity Assessment — Requirements for bodies providing audit and certification of management systems.

UL Qualified SFRM Contractor Management System Checklist
NFCA Fireproofing Handbook Manual (NFH)

Requirements

The UL Qualified SFRM Contractor Program offers independent, third-party audit services for the following:

- Acknowledgement that a Designated Responsible Individual (DRI) has met Program Requirements, and passed a written exam that tests knowledge of the NFCA Fireproofing Handbook (NFH) for SFRM Contractors, inspection and the UL Fire Resistance Directory.
- Examination of Contractor's established Management System and an on-site audit to determine conformance in accordance with Program Requirements.



- UL Qualified SFRM Contractor Program Requirements are based on the requirements of ISO/IEC DIS 17021:2011; Conformity Assessment Requirements for bodies providing audit and certification of management systems and applicable sections of ISO 17024 “Conformity Assessment — General Requirements for bodies operating certification of persons”.
- The UL Audited contractor firm management system provides an integrated approach (demonstrated knowledge of a DRI, and the Company Management System) to controlling the process in addressing customer and other applicable requirements.
- The Management System (MS) Checklist Form, available on UL’s website www.ul.com/SFRM, is intended to help organize and streamline Contractor’s efforts in determining compliance of Contractor’s management system with UL Qualified SFRM Contractor Program Requirements defined in this document.
- The Contractor is issued a Letter of Completion stating the name of the individual who completed the NFCA SFRM Fireproofing Exam, exam score, results of exam and an explanation that all program requirements including the successful completion of the initial UL Qualified SFRM Fireproofing Contractor Program audit must be met before the Contractor will be issued a Company certificate.
- Upon completion of the Contractor’s Management System audit, UL will provide an Audit Report that includes audit findings and conclusions, any identified non-conformities to correct and the eligibility for a Certificate.
- Upon a determination that the Contractor has met the UL Qualified SFRM Contractor Program Requirements, the Contractor will be issued a UL Certificate. The Certificates expire on December 31st of the following year, from which the certificate was issued. The certificate can be canceled or withdrawn by UL at any time. To remain current, the Contractor will be subject to an annual re-audit. The re-audit will include an audit of the Contractor’s Management System. The purpose of the re-audit is to determine if the Contractor, their DRI and their Management System still complies with all aspects of the Program Requirements.
- Upon a determination that the Contractor has met UL Qualified SFRM Contractor Program Requirements, the Contractor organization’s name and contact information will be published UL’s Product iQ™ as a UL Qualified SFRM Contractor.

- UL Qualified SFRM Contractors may use the words “UL Qualified SFRM Contractor,” on promotional material in accordance with the limitations specified in this document.
- The general public, SFRM manufacturers, architects, building owners, insurance agencies and any other interested parties can view UL Qualified SFRM Contractors on UL’s internet directory at www.UL.com/SFRM.

Eligibility and enrollment

(1) The Contractor must employ a Designated Responsible Individual (DRI) in accordance with the Program Requirements. (2) The Contractor must have an established Management System in accordance with the Program Requirements.

Application process

Applications for the UL Qualified SFRM Contractor Program are obtained online at www.UL.com/SFRM. Once a completed application is received and reviewed agreement forms follow.

Agreement forms reference and require compliance with the UL Qualified SFRM Contractor Program requirements. Agreement forms are signed by the Contractor’s authorized representative. Once the application and agreement has been received, reviewed, and deemed acceptable, an acknowledgement letter and quotation is sent to the Contractor.

Upon acceptance of the quotation, arrangements are made to conduct audit activities as defined in the Program Requirements.

Designated responsible individual and examination

Designated Responsible Individual (DRI) — Each Contractor under this program shall have at least one Designated Responsible Individual (DRI) who is employed by the Contractor and meets the Program Requirements and who has the following responsibilities:

- Defined and documented responsibility for the oversight and maintenance of the Contractor’s Management System, in accordance with Program Requirements.



- Defined and documented responsibility for training staff and determining if staff has received required training or qualifications necessary to choose and install SFRMs in accordance with the published Fire Resistance Designs and manufacturer’s installation instructions. The DRI has responsibility to act as a resource to Contractor staff as the Contractor’s “designated expert” to assist with resolving questions.

A DRI for each unique Contractor location may be required as determined by UL.

In the event the DRI is no longer employed by the Contractor or is otherwise unable to fulfill the duties of DRI, the Contractor shall carry out the following to remain in the Program:

- Immediately notify UL
- Immediately initiate the Contingency Plan for continued compliance with Program Requirements.
- Employ or qualify a replacement DRI within 120 days.

Demonstrated Knowledge — Demonstrated knowledge is determined by the UL Qualified SFRM Contractor having at least one Designated Responsible Individual (DRI) meeting the minimum examination requirements. The demonstrated knowledge is of the Fireproofing Handbook (NFH), inspection, and the UL Fire Resistance Directory as evidenced by completion of the required written examination with a score of 80% or better.

Examination Procedures — The NFCA SFRM Fireproofing Examination will be administered by NFCA at designated locations and times.

To be eligible to sit for the NFCA SFRM Fireproofing examination, the DRI candidate must be an active employee of a SFRM Contractor conducting business in the SFRM industry. A Contractor is considered active in the SFRM business when past, current, or pending contracts include SFRM work or specifications.

Eligible DRI candidates must complete a NFCA SFRM Fireproofing Examination Application. Completed examination forms may be submitted to the National Fireproofing Contractors Association (NFCA) for testing during scheduled NFCA conferences or to UL Knowledge Services to request testing.

Examination fees must be included at the time of application submittal.

Upon successful completion of the exam with a score of 80% or better, the contractor is issued a letter of exam completion by NFCA . The company can then appoint the individual as a DRI.

Certification Period — Individuals who successfully complete the UL SFRM Fireproofing Examination are certified for a period of 3 years from the date of certification.

To maintain certification, the contractor employee must renew their certification prior to the expiration date of the certification period. Recertification may be accomplished through continuing education unit (CEU) credits submitted to UL Knowledge Services or through reexamination. Failure to obtain the required number of CEUs or complete the reexamination prior to the end of the certification period will result in decertification which may impact the UL Qualified SFRM Contractor status.

Continuing Education — To maintain continued certification as the contractor employee or DRI shall:

- Achieve at least 6 continuing education units (CEUs) for every three years. One (1) CEU credit is equal to 10 contact hours of participation in organized industry related continued education. The total hours of education needed is 60. CEUs may be obtained through continuing education programs, instruction to staff and others, on-the-job experience instructing staff, and professional membership.
- Continuing education program CEU credits are obtained by attendance at NFCA seminars, fire-resistance and industry related seminars and educational programs offered by accredited colleges, universities and other providers of adult education. All continuing education topics shall be relevant to the industry, such as life safety, loss prevention, building codes and other related topics approved by the DRI’s management and accepted at the discretion of UL. The entire 6 CEU requirement may be obtained through continuing education programs.

CEU credits may be awarded for conducting presentations or holding instructional sessions at industry-sponsored events. A maximum of two (2) CEUs may be obtained through instruction.



- CEU credits may be awarded for first time on-the-job work experience. The work experience must be industry related and add to the DRI's body of knowledge of the SFRM industry and fire resistance. A maximum of one (CEU) credit may be obtained through first time on-the-job work experience.
- A maximum of one (1) CEU credit may be obtained by maintaining active membership in an industry related professional or trade organization.
- Certification as a DRI can be maintained by written examination every (3) years as an alternative to obtaining the CEUs noted above. If the 60 hours of continuing education is not maintained, an exam is required. The required examination and score needed to maintain certification is 80% correct responses.

DRI Recertification — A DRI employed by a UL Qualified SFRM Contractor who meets the CEU requirement or successfully completes reexamination during their certification period are issued a new Certificate.

This certificate is valid for a three (3) year period and subject to the rules and conditions of the Program Requirements.

Contractor management system audit

Audit Overview — The Contractor shall work directly with the assigned UL Auditor for scheduling and conduct of audits. An audit will be conducted of the Contractor's SFRM management system at the Contractor's facility and at least one job-site.

Prior to schedule of the audit, the UL Auditor will contact the Contractor to obtain a copy of the Contractor's Management System (MS) Manual. The UL Auditor will review the MS Manual in advance of the initial audit to become familiar with the Contractor's MS, identify any potential areas of nonconformity with Program Requirements, and determine readiness for the facility audit. The UL Auditor will discuss potential nonconformities, resolve any known differences in understanding and agree on a mutually acceptable schedule for the audit.

On-site contact — The Contractor DRI must be available at the agreed time of audit, and must have a thorough working knowledge of the company's Management System (systems, processes, and procedures) as well as a working knowledge of the Program Requirements. Likewise, the DRI shall have full

authorization to act on behalf of the Contractor with regard to issues falling within the scope of the Program.

Safety — System audits are conducted in and about a variety of structures, and workplace conditions may change at each site. It is crucial that the UL Auditor and Contractor representatives know and use safe workplace practices. The Contractor is responsible for coordinating all special safety training (such as emergency evacuation procedures or use of specialized safety equipment) required at the facility.

Audit Participation — The Contractor shall actively participate and assist the UL Auditor as necessary in the review of the Contractor's Management System and documentation relating to compliance with the program requirements.

Job Site Visit — As a component of the overall Management System audit, a visit is required to a site where installation of SFRMs by the Contractor is in progress or has been completed. The purpose of the job site visit is to audit the Contractor's Management System processes in the field. During the job site visit UL will observe at least one test being carried out on the applied SFRMs by the Contractor or independent third-party inspection agency personnel. The visit shall be treated as an extension of the audit activities taking place at the Contractor's facility. Activities by the UL Auditor shall be limited to observation. Observation of any tests in no way implies UL approval of the SFRMs or the application conducted by the Contractor. UL audit activities including observation of tests during the job site visit are not intended to address, nor do they imply proper installation of SFRMs or systems at the job site or installation and in no way imply approval by UL of the installation. UL shall not participate in the testing or testing process, but will consider the on-site testing as part of the overall audit of the Management System. The Contractor assumes responsibility of gaining access to the job site and ensuring the safety of the UL Auditor.

Nonconformity — Nonconformities to UL program requirements or the contractors management system requirements discovered during the audit will be documented and provided to the Contractor. The Contractor shall provide a written Corrective Action plan (addressing the nonconformity issues) to the UL Auditor within 30 days. If a Corrective Action plan is not received within 30 days of the audit conclusion, another complete audit may be deemed necessary. However, the UL Auditor shall make every attempt to contact the Contractor to reach a mutually acceptable timeline for submittal of the Corrective Action plan.



Nonconformities can be broken down into two categories as follows:

Minor: A nonconformance that is not likely to:

- Result in the failure of the MS, or
- Reduce its ability to assure controlled processes, or
- Result in the probable shipment or installation of nonconforming product or system.

Major: Nonconformance(s) that represent:

- The absence or total breakdown of a MS or element thereof required to meet the applicable requirements. A number of minor nonconformities against one requirement that when combined can represent a total breakdown of the system and thus be considered a major nonconformance.
- The probable shipment or installation of a nonconforming product or system.
- Presents a potential safety risk.
- A nonconformance that judgment and experience indicate is likely either to result in the failure of the MS or to reduce its ability to assure controlled processes, products and systems.

Corrective Action — The Contractor shall thoroughly and accurately address all documented nonconformity issues. Corrective Action plans shall be communicated in writing directly to the assigned UL Auditor within a mutually acceptable time period. The Contractor shall assist the UL Auditor to substantiate if Corrective Actions to resolve nonconformity items are acceptable. If major or numerous minor nonconformity items are discovered, as determined by the UL Auditor, a full re-audit will be required. If only a limited number of minor nonconformity items are discovered, a partial re-audit or appropriate evidence will be required. Acceptance into the program cannot be granted until all nonconformity items are resolved and verified by UL.

Contractor management system requirements

The Contractor shall establish and effectively implement and maintain a Management System (MS) to be eligible for this program. The MS must meet requirements specified here that focus on the selection and installation of UL Classified SFRMs.

The Contractor shall at a minimum:

- Identify the processes needed for the Management System and determine the sequence and interaction of these processes;
- Determine that the identified processes are effective;
- Ensure that sufficient resources are available to support the operation and monitoring of these processes;
- Document the processes in writing by means of a manual, which includes defined responsibilities and authorities including those of the DRI;
- Monitor, measure and analyze to continually improve the processes;
- Maintain control of any outsourced processes that could affect the conformity of selection and installation of SFRMs with requirements through the above activities to the extent needed.

Management System Elements — This section describes the 10 Management System elements required to be established by the Contractor for consideration into the program. These elements are derived from industry standards, as identified by NFCA, and ISO requirements for Management Systems.

1.0 Construction Document Requirements and Review:
The Contractor shall have defined processes for communicating the requirements for SFRM installations.

The Contractor shall review applicable construction documents (architectural drawings, structural drawings, project specifications), project scope, applicable published systems and designs to determine the type of Certified product or products to be used, the Fire Resistive Design specified for the project, to identify any inconsistencies, and to adequately define and understand all requirements.

Specific processes shall be defined and implemented to:
(a) Review the specifications. If there are incorrect statements in the specification that the design specifier has chosen, the Contractor can communicate appropriate UL Fire Resistance Designs. Design deviations or missing designs can be so noted to the design specifier for correction. The contractor will likely submit suggested UL Fire Resistance Designs through construction communication channels for approval.

Where the customer provides no documented statement of requirement, the Contractor shall confirm and document the



requirements with the customer. When requirements are changed the Contractor shall communicate those changes to relevant personnel and amend any applicable documents. A record of this review shall be maintained.

2.0 Procurement of SFRMs:

The Contractor shall have defined processes and capability for verifying that purchased product conforms to specified requirements. In general, the type and extent of control applied to the supplier of purchased product is dependent upon the effect of this product on the contractor's final installed SFRMs.

The process shall include an evaluation of suppliers based on their ability to supply classified SFRMs and products in accordance with requirements. This includes establishing the criteria for selection, evaluation and re-evaluation of suppliers. Records of the results of these evaluations and any necessary actions should be maintained.

The process shall also include detailed and accurate communication between the Contractor and the supplier describing the product requirements. This communication can take many forms, including electronic linkage to optimize the accuracy and efficiency of the information and communication.

A record of all materials purchased or shipped from contractor location for each project shall be maintained. These records should include the manufacturer and supplier name, product name, product type, approval agency product label and quantity. Finally, the process shall include verification of purchased product (inspection or other activities) to provide visual evidence that the purchased product meets specified requirements.

3.0 Storage, Handling, Preservation and Delivery:

The contractor firm shall establish a process for the identification of labeling or marking packaging by the product manufacturer to comply with listings, storage, handling, shelf life, preservation and delivery of SFRMs to prevent misuse, contamination, damage and deterioration.

4.0 Installation, Application and Field Quality Assurance Procedures:

The Contractor shall plan and carry out application of SFRMs under controlled conditions. These controlled conditions include manufacturer's installation instructions, listed designs, safety data sheets, contractor work instructions, suitable equipment, monitoring and measurement of the process result, availability and use of monitoring and

measuring devices, control of nonconforming product, product identification and traceability by trained workforce.

The Contractor shall use the NFCA 100, NFCA 200, NFCA- Quality Management Systems for Contractors manufacturer's installation instructions and design listings as a guide in developing SFRM field installation or application procedures.

Records of all field tests shall be maintained showing their results (pass or fail) and any actions taken to resolve nonconformities and compliance with the fire resistive design requirements.

5.0 Inspection, Testing and Calibration:

The Contractor shall determine the appropriate self-inspection testing, calibration/verification to be undertaken by the Contractor at the on-site application of SFRM to verify requirements have been fulfilled. This may include but is not limited to in-process inspections performed at the time of installation by the Contractor, fireproofing technician, or third-party inspection service. In addition, non-destructive examination of SFRMs can be performed as well as destructive tests. SFRM mock-up tests of samples are also acceptable.

The Contractor shall consult the applicable American Society of Testing and Materials (ASTM) Standards or applicable Building Code requirements to understand the inspection intervals with the appropriate agencies, such as special inspection agencies for SFRM. Guidelines for determining intervals of field tests by third party special inspection agencies paid for by the building owner, after application of SFRMs are referenced in Chapter 17 of the International Building Code. Thickness, density and bond strength are key elements which are to be inspected .

Inspection and/or testing reports provided by the inspection agency, when available, and contractor self-inspection shall be retained with project records and include corrective actions taken to resolve any nonconformities resulting from inspections or tests with results not in compliance with acceptance criteria.

The Contractor shall select and maintain all necessary monitoring and measuring devices required to complete the inspection and/or testing of their own work. In order to provide confidence in the data, monitoring and measuring devices shall be:



- Calibrated or verified at specified intervals, or prior to use, against measurement standards traceable to international or national measurement standards, as applicable
- Adjusted or re-adjusted as necessary
- Identified to enable the calibration status to be determined
- Safeguarded from adjustments that would invalidate the measurement results
- Protected from damage and deterioration during handling, maintenance and storage
- In addition, the Contractor shall assess and record the validity of previous measurement results when the devices are found not to conform to requirements.

6.0 Control of Nonconforming SFRMs:

The Contractor shall have a documented procedure for the control of nonconforming SFRMs that do not meet specified requirements and shall be identified and controlled to prevent unintended use or delivery. The controls, related responsibilities and authorities for dealing with nonconforming SFRMs and systems shall be defined in applicable Management System documentation. Records of the nature of nonconformities and any subsequent actions taken including concessions obtained shall be maintained. Control of nonconforming SFRMs extends to the application at the project site.

When a nonconforming product is corrected it shall be subject to verification to demonstrate conformity to requirements.

7.0 Training and Qualification of Staff:

The Contractor shall determine and provide the resources needed to implement and maintain the Management System and fulfill requirements for the installation of SFRMs in accordance with requirements. Personnel performing SFRM material selection, material installation, inspection, and/or testing shall be competent on the basis of appropriate education, training, skills and experience.

Personnel shall demonstrate proficiency by means of examination or equivalent. Effectiveness of the proficiency method must be validated.

Records of training, qualification and effectiveness shall be maintained.

The Contractor shall determine the necessary level of competence for staff whose work affects the fulfillment of requirements by installation of SFRMs; provide education and training to satisfy these needs; evaluate the effectiveness of the training; maintain appropriate records of education, training, skills and experience; periodically re-evaluate staff competence.

The Contractor shall demonstrate that the DRI and responsible personnel have appropriate skills and knowledge with regard to the selection and application of SFRMs in accordance with manufacturer application requirements; specific fire resistance design; established industry guidelines (i.e. NFCA 100, NFCA 200, National Fireproofing Contractors Association standard for participating SFRM Contractors).

8.0 Corrective/Preventive Action:

The Contractor shall have a documented procedure for corrective and preventive action and use corrective action as a tool to address nonconformities and as a tool for improvement. Corrective actions should be focused on eliminating causes of nonconformities in order to prevent recurrence. Sources of information for corrective action should include SFRM customer complaints, process and product nonconformity reports, audit results, test results, measurements and inspections, etc. The Management System documentation shall include a procedure for:

- Reviewing Nonconformities (including test failures and complaints);
- Determining the causes of Nonconformities;
- Determining and implementing the actions needed to correct the nonconformity and prevent the nonconformity from recurrence;
- Recording the results of actions taken;
- Reviewing the effectiveness of actions taken.

9.0 Management System Monitoring and Improvement:

Management shall provide evidence of their commitment to the development and implementation of a Management System. This can be effectively achieved if management communicates to the Contractor Organization the

importance of meeting requirements; establishes a policy and objectives related thereto; defines and communicates responsibilities and authorities within the organization; conducts management reviews; provides adequate resources.



The Contractor shall continually improve the effectiveness of the Management System through the use of the inspection results, analysis of data, corrective and preventive actions, and management review. The Contractor's DRI shall audit activities and responsibilities that are outside his/her direct control to assure the Management System is effectively implemented. These audits shall be planned and take into consideration the status and importance of the activity to be audited as well as the results of previous audits. The DRI has responsibility for planning, conducting, reporting audit results and maintaining audit records. These responsibilities and requirements shall be documented.

The Contractor's DRI, optionally with top management, shall review the suitability, adequacy and effectiveness of the Management System at planned intervals. The inputs into management review should include management objectives; results of inspections; DRI Audits; staff competency; customer feedback; project nonconformities; UL feedback; status of corrective and preventive actions; follow-up actions from previous management reviews. The output from management review should include decisions and actions related to improvement of the effectiveness of the Management System; improvement of processes related to fulfilling requirements; and resources. Records from management reviews shall be maintained.

10.0 Documentation and Record Keeping:

Documents required by the Management System shall be controlled. The Contractor shall establish a documented system that includes a policy on fulfillment of requirements, a manual, procedures, work-instructions, and additional documents and records so that processes and activities are carried out as planned to meet requirements.

The Contractor shall have a documented system in place to define the controls required for:

- Approval of documents for adequacy prior to use;
- Review and update of documents;
- Changes and identification of revision status of documents;
- Availability of relevant documents at points of use;
- Document identification;
- Documents of external origin (identification and distribution control);
- Prevention of unintended use of obsolete documents.

Records are a special type of document that require specific controls (identification, storage, protection, retrieval, retention, disposition). The contractor shall establish a documented system for the control of records.

Included in the Management System documentation is a manual (or equivalent), which contains documented statements of a policy and objectives for fulfillment of requirements; procedures established for the Management System (or reference to them); documents needed by the Contractor for the effective operation of the Management System; responsibilities, including responsibilities of the DRI.

Records shall be established and maintained to provide evidence of conformity to requirements and of the effective operation of the Management System. Records shall remain legible, readily identifiable and retrievable, and shall be retained for a period of 7 years or as required by code or government regulation.

The following records shall be maintained, at a minimum:

- Construction records, including scopes, contracts, systems designs, manufacturers installation instructions, and amendments;
- Incoming material inspection;
- Installation inspection and test records;
- Equipment records including calibration when applicable;
- Customer complaints records, with Corrective Action (and Preventative Action as appropriate);
- Corrective and Preventive Action records;
- Non-conforming material records;
- Staff education, training competency evaluations and training effectiveness;
- DRI Audits;
- Management review records.

Certificates and re-audits

Certificate Issuance and Control — Upon a determination that the Contractor has met the UL Requirements, the Contractor will be issued a certificate that includes:

- Contractor firm name and address of location assessed under the Program;



- Effective date (date of compliance decision) and expiration date (one year following effective date);
- Unique serial number and UL File number ;
- UL and name of the UL Contractor Program to which the Contractor firm was assessed;
- Authorized UL marking and UL designated logo Contractor may use and restrictions on use.

UL exercises control on the use of its certificates in accordance with Program Requirements.

UL takes whatever action is necessary to preserve the integrity of its certificates and UL designations. Reports of misuse or unauthorized use of certificates and designations are investigated. Incorrect references to, or misleading use of certificates or designations found on printed matter, such as advertisements or catalogues, are dealt with by suitable actions and are referred to UL's Market Surveillance Team as appropriate.

Certificates are issued only to those Contractors that comply with UL Requirements and only after the nonconformities identified during UL audits have been resolved.

Qualified SFRM Contractor Certificate Renewal —

Certificates may be renewed annually on/or before the renewal date as indicated on the certificate. Certificates may be canceled or withdrawn by UL at any time. To remain current, the Contractor will be subject to an annual full and complete re-audit. The re-audit will include a comprehensive audit of the Contractor's Management System. The purpose of the re-audit is to determine if the Contractor, their DRI and their Management System remains in compliance to program requirements. All nonconformities resulting from annual re-audits must be resolved in order for certificates to remain valid.

Withdrawal — Program Requirements and formal agreements clearly state the conditions for the Contractor's use of certificates and designations. UL reserves the right to suspend or withdraw a certificate should any of the following conditions occur: (a) Contractor's MS no longer complies with UL Requirements; (b) Contractor's use of any UL designation, marking, symbol, or statement is unacceptable, or misleading in the opinion of UL; (c) Contractor is delinquent in payment; (d) Contractor violates a signed UL agreement; (e) Contractor requests withdrawal from the Program in writing; (f) Contractor does not request or allow an annual re-audit to be conducted.

UL Qualified SFRM Contractor directory

UL Qualified SFRM Contractor firm's name and contact information are published on UL's Product IQ. The general public, building owners, architects, designers, insurance agencies, and other interested parties can view UL Qualified SFRM Contractors on UL's Internet directory at www.UL.com/SFRMcontractors.

Conditions for use of the certificate and UL designation

Certificate and UL Designation — UL Qualified SFRM Contractors may use the words "UL Qualified SFRM Contractor" and "Our organization has been evaluated by UL and found to comply with UL's Qualified SFRM Contractor Program Requirements".

The UL designation shall not be:

- Used directly on or closely associated with products, product packaging or services in any way that may imply that the products or services themselves are Listed, Recognized, Classified, or in any way certified by UL ;
- Applied to a job-site or SFRM application;
- Applied to laboratory test, calibration, or inspection reports.

The UL Qualified SFRM Contractor firm:

- Shall discontinue use of the UL designation upon withdrawal from the Program;
- Shall not make or permit any misleading statements regarding its certification;
- Shall not use the UL designation in a manner that would bring UL or the UL Program into disrepute or lose public trust;
- Shall discontinue any use of the UL designation and any form of statement with reference to the authority of the Contractor organization to use the UL designation that is unacceptable to UL and which in the opinion of UL might be misleading.

UL is the owner of the UL designation, which incorporates the name, abbreviation or symbol of Underwriters

Laboratories and which shall, only under the conditions of this document, be used by the Contractor Organization to



indicate the Contractors acceptance in accordance with the Program Requirements.

In the opinion of UL, the promotional or advertising material shall not be in conflict with the findings of UL and the reference to UL shall in no way create a misleading impression as to the nature of UL's findings and acceptance of the Contractor organization. Except for the UL designation that is prescribed for use in these Program Requirements, no other UL designation may be used in the advertising and promotional material supplied unless otherwise specifically authorized in writing by UL. In those instances where a UL designation is used, any text that is prescribed by this document shall be used.

The UL Certificate and the UL designation shall be used in the manner authorized by UL and subject to the control of UL. Requests for use of UL's Certificate and UL's designation shall be processed through UL. Notwithstanding that the cost of displaying UL's Certificate and UL's designation is not paid by UL, it is agreed that the right to control the display or other use of the Certificate and designation shall be vested in UL. UL's representative shall have the right, on demand, to acquire possession of the UL Certificate and UL designation and any or all advertising and promotional material, or other means of displaying the Certificate and Mark when in the judgment of UL's representative, such action is warranted.

The UL designation may be used only on correspondence, advertising and promotional material and shall be used only in connection with the services described in the Program Requirements. The Contractor organization shall identify the services to which the Certificate applies when using the UL designation in a context where the scope of application is open to interpretation.

Examples of acceptable compositions of the UL designation shall be described in this Program Requirements document when they become available for the Program.

Contractor complaints/right to appeal

Complaints — Anyone may lodge a complaint regarding UL's auditors or services. Complainants can without prejudice,

present and discuss their views with UL's Management Personnel. Upon receipt of a formal complaint, UL's Management Personnel shall initiate an investigation to determine the cause of the complaint.

A complaint can be made through any form of communication; such as telephone, facsimile, email or letter. If a complaint is communicated orally, the complainant shall be encouraged to submit a documented complaint.

Should a complainant desire to remain anonymous and does not request a response, the complaint shall nevertheless be evaluated and considered for corrective actions. If a formal complaint has not been resolved sufficiently, it may be escalated to a higher UL management level for resolution.

Short Notice Audits — It may be necessary to conduct audits on short notice to investigate complaints, in response to Contractor changes, or for any reason deemed necessary by UL.

UL will inform the Contractor of the visit with at least one-week notice prior to the visit and an explanation of the purpose or reason for the visit.

Appeals — An appeal can be submitted by a contractor when there is a disagreement with a UL decision and the dispute cannot satisfactorily be addressed. Appeals should be first addressed to the program manager of the Qualified SFRM Contractor Program to determine that all objective information was clearly understood and all questions were answered. If the dispute is not resolved by the Program Manager, the appeal will be formerly escalated through UL senior management.

For more information, please contact your local UL Field Engineer



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